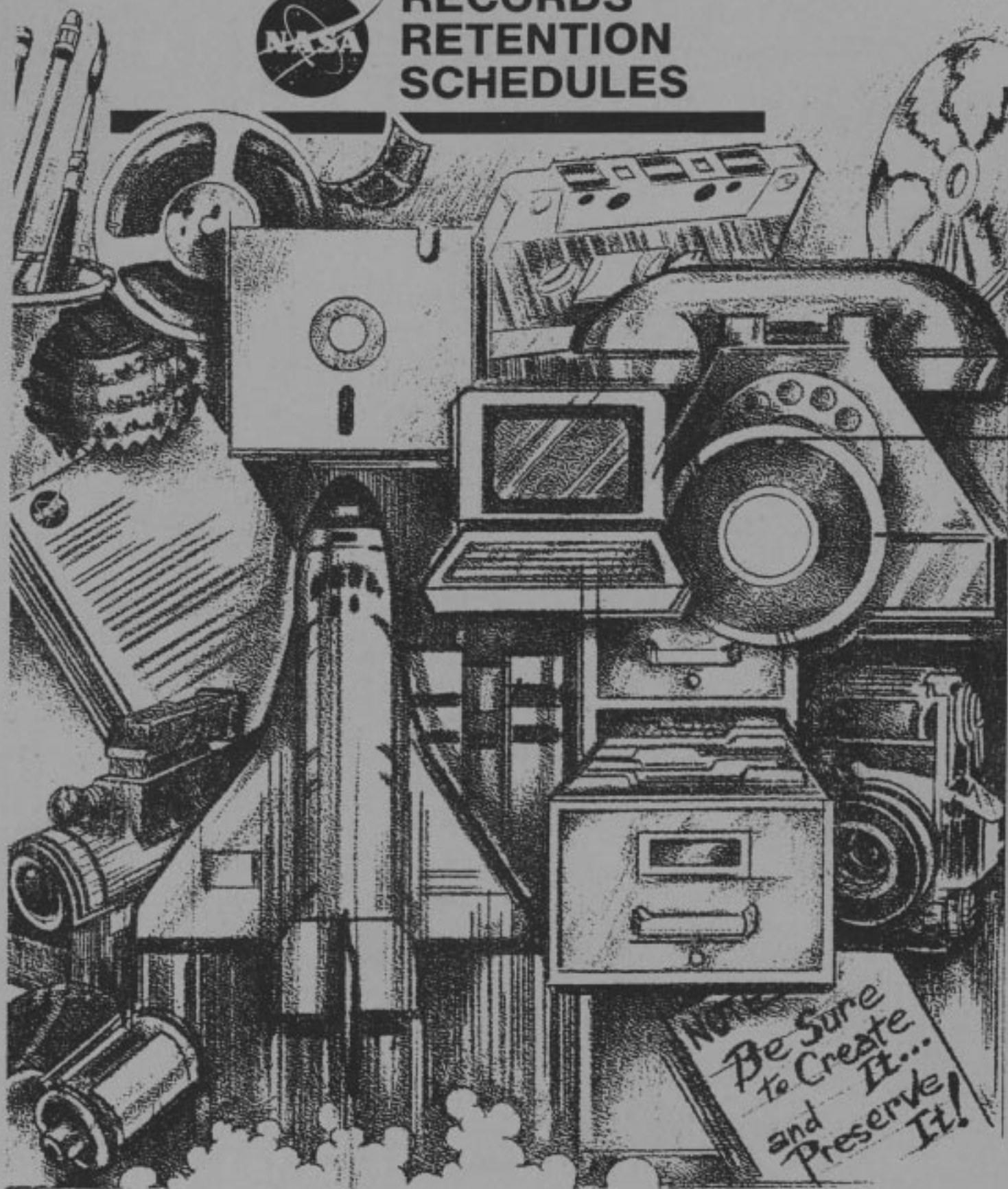




# RECORDS RETENTION SCHEDULES

NPG 1441.1C



*NOTE:  
Be Sure  
to Create  
It...  
and  
Preserve  
It!*

PROCEDURES GOVERNING THE RETENTION, RETIREMENT, AND DESTRUCTION  
OF AGENCY RECORDS



# **NASA Procedures and Guidelines**

**NPG: 1441.1C**

**Effective Date: March 17, 1997**

**Expiration Date: March 17, 2002**

Last Updated July 31, 2000

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**Responsible Office: Code AO/Chief Information Officer**

## **NASA Records Retention Schedules**

**NOTE:** Several changes to page and document format were made to this version of NPG 1441.1C, along with the addition of the Agency Filing Scheme Number and Subject to the content of each schedule. The Change History page provides more information about changes made.

To submit informal comments or suggestions regarding the new format push the **I Have A Suggestion** button above on this cover page. All comments submitted will be reviewed and considered for the next revision which will be developed during the next 6 months.

This document is updated frequently, therefore, printed copies may be obsolete, refer to the Change History Log at the beginning of NPG 1441.1 in the NASA Online Directives Information System (NODIS) for current version.



## NASA Records Retention Schedules Change History

| Change Number | Schedule       | Approved   | Description/Comments  |
|---------------|----------------|------------|---|
| 1             | AFS Appendix A | 12/15/1998 | Change Occupational Safety and Health Program Application (OSHA) # to 8715 from 8720<br>Change Reliability, Availability, and Maintainability Policy # to 8720 from 8730<br>Change Quality Management # to 8730 from 8740<br>Leave AFS # 8740 blank for future use.   |
| 2             | AFS Appendix A | 12/15/1998 | Set up AFS # 1080 as Generate Knowledge<br>Set up AFS # 1090 as Communicate Knowledge   |
| 3             | AFS Appendix A | 12/15/1998 | Set up AFS# 1280 as Quality Management Systems for Administrative Internal Systems  |
| 4             | 8              | 1/25/1999  | Item 15 B "Magnetic Tapes" Approved by NARA Job Number N1-255-97-1  |
| 5             | AFS Appendix A | 5/10/1999  | Set up AFS # 9880 as Computer Crimes  |
| 6             | 3              | 6/29/1999  | Item 33 H "On-The-Job Training (OJT) added to Item 33 "Training Records/Files - General. NARA number N1-255-99-1  |
| 7             | AFS Appendix A | 12/20/1999 | Add (e.g. NASA Strategic Plan) to 1000 General<br>Add (e.g., NASA Alumni League) to 1330 Independent Establishments<br>Add STI Databases to 2220 Publications Program / STI Databases<br>Set up AFS # 2210 as External Release of NASA Software<br>Change AFS # 2820 subject to NASA Software Policies<br>Set up AFS # 3317 as Senior Executive Service Career Appointee Merit Staffing<br>Set up AFS # 3319 as Management of Senior Scientific and Technical and Other Senior Level Positions<br>Set up AFS # 7330 as Facility Projects, Approval Authorities<br>Establish 8500 through 8590 as Environmental Subjects<br>Change National Environmental Policy Act (NEPA) # to 8580 from 8840<br>Leave AFS # 8840 blank for future use<br>Change Environmental Management # to 8500 from 8870<br>Leave AFS # 8870 blank for future use<br>Set up AFS # 9500 as Contractor Financial Management Reporting |
| 8             | AFS Appendix A | 12/27/1999 | Change Document Format from 2 tables a page to 1 table a page   |
| 9             | AFS Appendix A | 1/12/2000  | Appendix A format was changed and the Change History page for Appendix A was updated.   |
| 10            | 7              | 5/22/2000  | Item 24 "Resources Authority Warrants (506s)" replaced by revised schedule, approved on 1-19-00. NARA number N1-255-96-3  |
| 11            | 1              | 6/09/2000  | Item 26.5 "Quality Management Files" new item added.<br>NARA number N1-255-99-3<br>Item 118 "Ground-Based Pressure Systems Records" new item added.<br>NARA number N1-255-99-3  |
| 12            | 3              | 6/09/2000  | Item 33 "Training Records/Files - General" subitem "B. Rosters", "C. Contract Training Files", and "G. Technical Training" new items added.<br>NARA number N1-255-00-2  |
| 13            | 5              | 6/09/2000  | Item 31 "Inspection and Proof Report(S)" new subitems A.1, A.2, A.3, and A4. added. Subitem D added. NARA number N1-255-99-2  |
| 14            | 8              | 6/09/2000  | Item 48 "Real Property Files" completely replaced.<br>NARA number N1-255-00-1   |
| 15            | 1              | 7/31/2000  | Item 0.1 "Electronic Mail and Word Processing System Copies" new item added. NARA number N9-255-00-01   |
| 16            | 2              | 7/31/2000  | Item 0.1 "Electronic Mail and Word Processing System Copies" new item added. NARA number N9-255-00-02   |
| 17            | 3              | 7/31/2000  | Item 0.1 "Electronic Mail and Word Processing System Copies" new item added. NARA number N9-255-00-03   |
| 18            | 4, 5, 6, 7     | 7/31/2000  | Item 0.1 "Electronic Mail and Word Processing System Copies" new item added. NARA number N9-255-00-04   |
| 19            | 8, 9           | 7/31/2000  | Item 0.1 "Electronic Mail and Word Processing System Copies" new item   |



|    |                   |           |  |
|----|-------------------|-----------|--|
|    |                   |           | added. NARA number N9-255-00-05  |
| 20 | 1 through 10      | 7/31/2000 | The format for each Schedule (1 through 10) changed from tabular to table format with defined rows and columns. All NOTE references were moved to the Item in the Schedule referencing the NOTE. Agency Filing Scheme numbers and subject titles merged in with the records series description in each Schedule. Page header information added to each page in Schedules 1 through 10. A note was added on most LeRC entries to indicate that the Center name was changed to Glenn Research Center. Introduction section modified to include more information about how to make changes or add new items to the Schedules. |
| 21 | Cover             | 7/31/2000 | The cover page was changed to match standard NPG format.   |
| 22 | AFS<br>Appendix A | 7/31/2000 | AFS # 5100 to 5199 Subjects updated to match Federal Acquisition Regulation Titles   |
| 23 | AFS<br>Appendix A | 7/31/2000 | Change AFS # 1102 to "HQ Institutional Program Office(s) and Enterprise Office(s) Organization"<br>Change AFS # 1103 to "Operating Relationships"<br>Change AFS # 1107 to "Field Center Organization"<br>Change AFS # 1322 to "Executive Office of the President (OSTP)"<br>Change AFS # 1357 to "Unsolicited Proposals"<br>Change AFS # 1371 to "Foreign Nationals Access to NASA"<br>Change AFS # 2100 to "Technology Utilization (including Small Business Innovative Research (SBIR))"<br>Change AFS # 9050 to "Cash Management - Administrative Control of Appropriations and Funds"                                  |
|    |                   |           |  |
|    |                   |           |  |
|    |                   |           |  |
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|    |                   |           |  |



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### NASA RECORDS RETENTION SCHEDULES (NRRS):

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### CROSS REFERENCES / INDICES / APPENDICIES:

|                                   |     |
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## PREFACE

National Aeronautics and  
Space Administration  
Office of the Administrator  
Washington, DC 20546-0001



Date: **MAR 17 1997**

NPG 1441.1C

### PREFACE

#### P.1 PURPOSE

This Guidance sets forth the minimum retention periods of Federal records of the National Aeronautics and Space Administration (NASA). This revised edition has been correlated to the NASA Uniform Files Index (UFI), which is the mandatory filing scheme for NASA, and the General Records Schedules produced by the National Archives and Records Administration (NARA). It has also been enlarged in scope to cover Privacy Act Systems of Records and record series previously omitted. Guidance has been provided in the areas of records retirements, transfers, and retrievals from Federal Record Centers (FRC), and disposal actions. Included are procedures for making changes to these schedules by addition of new items or revisions of current items.

\*  
\*\*

Requests for additional copies of this handbook should be submitted to the local Records Manager or the NASA Management Issuance distribution point. The NRRS is a controlled publication and is revised continuously by page changes.

#### P.2 APPLICABILITY

This NPG is applicable to NASA Headquarters and NASA Centers, including component facilities.

#### P.3 AUTHORITY

36 CFR, Chapter XII, Part 1228.20 and 41 CFR 201-22.1. These schedules were approved for NASA use by NARA, the General Services Administration, and the General Accounting Office.

#### P.4 REFERENCES

None.

#### P.5 CANCELLATION

NHB 1441.1B, dated April 1, 1994 and NHB 1442.1A, dated October 1, 1987

  
Ronald S. West  
Chief Information Officer

#### DISTRIBUTION:

#### NODIS

\* Minimum Retention was changed to Retention in order to clarify that any retention other than the approved Retention in the Schedules must receive a waiver.

\*\* NASA UFI was cancelled and replaced with the Agency Filing Scheme - September 1997.



## INTRODUCTION

As Federal employees, we are all required by law and Agency Policy to maintain and preserve records. Federal Regulations 36 CFR Part 1220 and 1222 along with NASA NPD 1440.6 state the requirement. The heads of Federal agencies are responsible for preventing any unlawful alienation, alteration, removal, or any accidental or unauthorized destruction of records, including all forms of mutilations. In addition, they are responsible for ensuring that all employees are aware of these provisions in the law and that any such action be reported to them or the Agency Records Officer.

The statutory definition of Federal records is contained in 44 U.S.C. Sec. 3301 and is referred to in the NARA Regulations: 36 CFR Part 1220.12 and 1222.12. The Definition of Federal records in 44 U.S.C. Sec. 3301 is:

"As used in this chapter, "records" includes all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included. "

From 36 CFR Part 1220.14.

"Nonrecord materials are those Federally owned informational materials that do not meet the statutory definition of records (44 U.S.C. 3301) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit."

Each person needs to determine if material (book, papers, documents, records and so on) is a "record" or "nonrecord". Documentary materials are records when they meet both of the following conditions:

1. They are made or received by an agency of the United States Government under Federal law or in connection with the transaction of agency business; AND
2. They are preserved or are appropriate for preservation as evidence of agency organization and activities or because of the value of the information they contain.



Some nonrecord examples are - Vendor catalogs and trade journals, Copies of agency directives maintained by other than the issuing component(s) of the agency, A letter received by an employee concerning his/her personal business.

Federal Records can be of a "Permanent" or "Temporary" nature.

Permanent record means any Federal record that has been determined by the National Archives and Records Administration (NARA) to have sufficient value to warrant its preservation in the National Archives of the United States. Permanent records include all records accessioned by NARA into the National Archives of the United States and later increments of the same records, and those for which the disposition is permanent on SF 115s, Request for Records Disposition Authority, approved by NARA on or after May 14, 1973. Permanent records are records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes.

A temporary record is any record which has been determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant its preservation by the National Archives and Records Administration. This determination may take the form of:

- (a) A series of records designated as disposable in an agency records disposition schedule approved by NARA (Standard Form 115, Request for Records Disposition Authority); or
- (b) A series of records designated as disposable in a General Records Schedule.

Temporary records are records approved by NARA for disposal, either immediately or after a specified retention period.

NOTE: Procedures in this handbook and the dispositions set forth are not applicable to library materials or reference documents normally housed in libraries. Such materials, contained in a library, are considered to be non-record.



## NASA RECORDS RETENTION SCHEDULES

The NASA Records Retention Schedules (NRRS) is divided into 10 subject categories, which are correlated, to the Agency Filing Scheme (AFS). The 10 categories are:

- Organization and Administrative
- Legal and Technical
- Human Resources - Personnel
- Property and Supply
- Industrial Relations and Procurement
- Transportation
- Program Formulation
- Program Management
- Financial Management AND Inspector General
- Common Records

Schedule 1, "Organization and Administrative Records" and, Schedule 10, "Miscellaneous Records Common to Most Offices," will be used by all offices. Schedules 2 through 9 will be used according to office function/operation. The schedules are arranged into four separate, distinct, columns:

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORDS SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u> |
|--------------|-------------|--|--|
| COLUMN ONE   |             | AFS # is the Agency Filing Scheme number for the Subject Area in column three. This column will also show the AFS # for the Record Series described in column three.   |  |
| COLUMN TWO   |             | ITEM is a reference number given to the series of records descriptions in the third column. These numbers are used when completing Standard Form 135, Records Transmittal and Receipt, for transferring records to an FRC. |  |
| COLUMN THREE |             | DESCRIPTION OF RECORD SERIES identifies each category and series of records. The Office of Primary Responsibility (OPR) is also indicated along with specific installation instructions, if necessary.                     |  |
| COLUMN FOUR  |             | RETENTION shows the required period of time that the records must be maintained by NASA and by the FRC's. Authority provides the   |  |
| NARA         |             | Job Number that approved the disposition and retention for the Series of Records described.  |  |



The RETENTION period shown in the Schedules for a record or series of records is the approved retention period that NASA has received from NARA. If your records need to be kept longer or need to be destroyed sooner than the retention period authorized, you must contact your Center Records Manager to discuss the requirements for an exception to the authorized retention period.

Inactive records, which have a long retention time, can be transferred to FRC's for safekeeping. Material will be transferred to installation staging areas, if appropriate, and ultimately to the FRC in accordance with the procedures and instructions set forth at each installation. Medium requiring special conditions, i.e., temperature, humidity, or handling, does not need to go to a staging area prior to shipment if such area will compromise the special conditions required.

ALL Agency records (Federal Records) fall into one of two categories:

A. Administrative Records

B. Program Records

A. Administrative Records:

These records document administrative functions common to all agencies, regardless of agency programs, such as personnel, payroll activities, supply and procurement, space, and communications management. Also, they may be involved in GAO audits of accountable officers' accounts when they shed additional light on collection and disbursement transactions or are part of the "audit trail." For example, in an agency industrial activity, time cards may be used to illuminate questionable payroll transactions. Administrative records may also be involved in GAO audits that relate to larger agency programs or administrative activities.

B. Program Records:

These records reflect the substantive missions and programs of the agency consisting of standard internal management controls, including those relating to policies, organization, duties, functions, planning, procedures, information systems, and expenditure controls. These records also relate to specific activities carried out by the agency, such as "Mission" records which relate to decisions about the Shuttle program and its operations.

It should be understood that NASA, as a Federal agency, is responsible for managing its records, subject to statutory and regulatory restraints. Good records management requires that as soon as records are no longer needed, archival needs must be recognized and there must be a continuous records management program followed to ensure that records are appraised, transferred, and disposed of efficiently and economically.



## MAKING CHANGES TO THE NRRS:

Occasionally the creation of new record types and changes to current record descriptions and retention periods occurs. When this happens, NPG 1441.1 needs to be updated. Updates need to be made to the NPG quickly and as often as needed to keep the NPG accurate in providing guidance to the Agency's personnel. To facilitate the timely updating of the NPG, a process of submitting and reviewing proposed schedules that does not utilize the full NODIS review and approval process for each change will be followed. The steps below describe this process and identify the actions and action officer for each step. After the proposed schedules pass the review process, an update entry will be made to NPG 1441.1 including an entry in the Change History log. It should be noted that periodically the complete NPG will be submitted and processed through the full NODIS review process for formal approval.

### NRRS Change Proposal Process

This process should be followed when a record or records series cannot be identified in either NPG 1441.1, as revised, or the National Archives and Records Administration (NARA) General Records Schedules (GRS). Records of this nature are considered "unscheduled." Unscheduled records stay in the unscheduled state until approval from NARA is granted. Unscheduled records are managed as though "Permanent", meaning they cannot be destroyed until NARA has appraised them and a new schedule has been established.

When the Record Owner determines that a type or series of records either does not exist or needs modification, the Record Owner is to contact the NASA Center Records Manager (RM) to help develop a proposed schedule for the records. The Records Manager will assist the Record Owner in completing a NASA Form 1418. Each Center will have its own procedures to follow when developing proposed schedules, but should at least do the following steps.

| <u>Step</u> | <u>Action Officer</u>                   | <u>Action</u>   |
|-------------|---|---|
| 1           | Record Owner (with Center Records Mgr.) | Develop the proposal to either revise an exiting schedule or create a new schedule. This includes determining the functions and activities documented by the records to be scheduled, developing an inventory of the records including a description of the records, informational content, their use, medium, location, volume and inclusive dates. In addition, evaluate the period of time the Agency needs each specific record series or system by reference to its uses and value to operations or legal obligations. Based on Agency needs, formulate specific recommended disposition instructions for each record series or each part of an automated information system. Include file breaks, retention periods including length of time to retain on-site, instructions for retirement of records to a FRC, when appropriate, retention period before destruction of temporary records or transfer of permanent records to the National Archives. Recommend retention periods taking into account the rights of the Government |



|    |                            |  |
|----|----------------------------|--|
|    |                            | and the rights of those directly affected by Agency actions. The above information is used to submit a NASA Form 1418 with supplemental attachments, if necessary.   |
| 2  | Record Owner               | Submit NASA Form 1418 to the Center Records Manager for review and approval.   |
| 3  | Center RM                  | Review the Form 1418. This review includes coordinating all proposed changes with other officials and offices creating and maintaining similar records at the Center.  |
| 4  | Center RM                  | Coordinate a review of the proposed change to the NRRS by the Center Chief Counsel or legal organization.  |
| 5  | Center RM                  | If the proposal is disapproved, the Center RM notifies the Record Owner and works with the Record Owner to fix the problem.  |
| 6  | Center RM                  | If the proposal is approved, the Form 1418 and any attachments are forwarded to the NASA Records Officer for review and processing.  |
| 7  | NASA Records Officer       | The NASA Records Officer reviews the proposal, making any modifications needed based on current NARA and/or Government Accounting Office general guidance.   |
| 8  | NASA Records Officer       | The NASA Records Officer will send the proposed schedule to all the Center Records Managers for review and comments. This will normally be a 3 - 4 week period for Center review.  |
| 9  | Center RM                  | Each Center Records Manager should determine if the records described in the proposal are applicable to a group or organization at that Center. If the records are applicable to that Center, the RM should have the appropriate group(s) and the Center Chief Counsel organization review the proposal. |
| 10 | Record Owner               | The affected groups or organizations review the proposal and submit written comments to the Center Records Manager.  |
| 11 | Center RM                  | Consolidate all Center comments into one Center response and send to the NASA Records Officer. If a Center has no comments, a "no comments" reply should be sent to the NASA Records Officer.  |
| 12 | NASA Records Officer       | Disposition all comments and develop a revised schedule.   |
| 13 | NASA Records Officer       | Send the revised schedule to the Headquarters General Counsel Office for review.   |
| 14 | HQS General Counsel Office | Review proposed schedule and submit comments to the NASA Records Office. If the General Counsel has no comments, a "no comments" reply should be sent to the NASA Records Officer.   |
| 15 | NASA Records Officer       | Disposition comments, if any, and finalize the schedule, complete Standard Form 115, and forward the package to NARA for review and approval.  |
| 16 | NASA Records               | While NARA is reviewing the proposed schedule, the NASA Records Officer will add the proposed schedule, as a change to NPG 1441.1  |




|    |                      |  |
|----|----------------------|--|
|    | Officer              | with a "Handle as Permanent Pending Retention Approval" label on the records series. Adding the proposed schedule to NPG 1441.1 will serve several purposes. It will indicate to NASA personnel that the series of records has been identified, that the record disposition or retention is awaiting approval (records cannot be destroyed), and that, if necessary, the records can be sent to an FRC for storage as unscheduled records after discussion with the Center Records Manager. In addition, the entry to the NPG will act as a reminder for the NASA Records Officer of schedules that are at NARA for review and when he/she should follow up with NARA. |
| 17 | NARA                 | NARA reviews the proposed schedule and either approves or disapproves it.  |
| 18 | NASA Records Officer | If NARA disapproves it, the NASA Records Officer works with NARA and the submitting Center to make any modifications necessary to obtain NARA approval. The NASA Records Officer will coordinate any NASA reviews that are required because of the changes.  |
| 19 | NASA Records Officer | When the proposed schedule is approved by NARA, the "Handle As Permanent Pending Retention Approval" label will be removed from the NPG 1441.1. Notice will also be made to all NASA Records Managers that NARA approved the proposal.   |
| 20 | NASA Records Officer | Every 2 years NPG 1441.1 is analyzed to determine how many updated/new record series changes have been made to the NPG. If more than 25 have been made a revision to NPG 1441.1 will be submitted and processed through NODIS for formal approval. At a minimum a revised NPG will be submitted and processed through NODIS for formal approval every 5 years.   |
|    |                      |  |

Submit proposed changes and recommendations on NASA Form 1418, Proposed Change to NASA Records Retention Schedules, through the Installation Records Manager who will forward it to the NASA Records Officer, NASA Headquarters. See Figure 1 for example; use current version of form for submittal.

PDF -- <ftp://ftp.hq.nasa.gov/forms/pdf/nf1418.pdf>

Informed -- <ftp://ftp.hq.nasa.gov/forms/form/nf1418.itp>



|  |                           |   |          |
|--|---------------------------|---|----------|
|  National Aeronautics and Space Administration  |                           | <b>Proposed Change to NASA Records Retention Schedule</b>   |          |
| 1. TO:<br>NASA Records Officer<br>NASA Headquarters<br>Code AG   |                           | 3. FROM (Originating Office and Installation)   |          |
| 2. THROUGH (Installation RSM)  |                           |   |          |
| 4. FUNCTIONAL AREA (Office creating or accumulating records)   |                           |   |          |
| 5. PROPOSAL DATA   |                           |   |          |
| a. SCHEDULE TITLE (For NARS 3011.1)  |                           |   |          |
| 6. SCHEDULE NO.  | 7. AGENCY FORM SCHEME NO. | 8. ACTION (In Schedule and Remarks (If item 8(2) is checked))<br><input type="checkbox"/> (1) NEW <input type="checkbox"/> (2) REVISE |          |
| 9. RECOMMENDED CHANGE OR ADDITION TO DISPOSITION INSTRUCTIONS (Describe proposed revision in column 6c and disposition in column 6b. If no change, so state.)                    |                           |   |          |
| a. DESCRIPTION OF RECORDS  |                           | b. DISPOSITION  |          |
|  |                           |   |          |
| 10. JUSTIFICATION FOR PROPOSED CHANGE  |                           |   |          |
| 11. TYPED NAME AND TITLE OF INITIATING OFFICIAL  |                           | 12. SIGNATURE   | 13. DATE |
| 14. RECORDS MANAGER  |                           |   |          |
| a. RECOMMENDATION AND COMMENTS (Complete comments on reverse, or on separate sheet and attach)<br><input type="checkbox"/> (1) APPROVED <input type="checkbox"/> (2) DISAPPROVED |                           |   |          |
| b. NAME OF INSTALLATION RSM  |                           | c. SIGNATURE  | d. DATE  |
| 15. NASA RECORDS OFFICER   |                           |   |          |
| a. ACTION TAKEN (Complete comments on reverse, or on separate sheet and attach)<br><input type="checkbox"/> (1) APPROVED <input type="checkbox"/> (2) DISAPPROVED                |                           |   |          |
| b. TYPED NAME  |                           | c. SIGNATURE  | d. DATE  |

**NASA FORM 1418** FORM PREVIOUS EDITIONS ARE OBSOLETE

Fig. 1 - NASA Form 1418



## RETIRING RECORDS

### When to Retire:

Inactive or semi-active records that have a minimum retention period of at least 3 years should be retired. Files referred to not more than once a month are considered to be inactive and should be retired to less expensive storage space at either an installation staging area, if available, or to one of the approved Federal Record Centers (FRC). NOTE: Transitory or nonrecords items cannot be retired to an FRC.

### Starting the Process:

Contact the Installation Records Manager who will assist in the preparation of the necessary paperwork, i.e., installation forms, SF 135, SF 115. The required form will be completed for every group of records retired to staging areas, FRC's, another installation, another Federal agency, and for records transferred directly to the National Archives and Records Administration.

Sufficient copies of the appropriate forms will be made to meet local, shipping, and FRC/NARA requirements. One copy of ALL SF 135's documenting PERMANENT records will be forwarded to the NASA Records Officer. SF 135's sent to the NASA Records Officer MUST include the Accession Number and the records group number. [See Figure 2 for sample SF 135 for NASA Headquarters.]

PLEASE note that the only record that NASA retains to describe records either retired or transferred to an FRC or NARA are the SF 135 and SF 115 [See Figure 3]. This document is vital to retrieving documents/materials at a later time. The records must be accurately and adequately described on the SF 135/115 to ensure proper scheduling and potential retrieval.

### Shipping and Packing Instructions:

Records are retired in special record boxes, each holding approximately one cubic foot, and may be obtained through the Installation Records Manager. Boxes will accommodate letter- or legal-sized material. There are special boxes which will accommodate magnetic tapes, microfiche, or flat drawings, see your Installation Records Manager for these boxes. Boxes other than records boxes CANNOT be used because of shelving restrictions and specifications at FRCs.



| <b>RECORDS TRANSMITTAL AND RECEIPT</b>   |    |  |          |            |             | <small>Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records.</small>   |     |                    | <small>PAGE    OF    PAGES</small> |               |   |                             |     |     |
|--|----|--|----------|------------|-------------|--|-----|--------------------|------------------------------------|---------------|---|-----------------------------|-----|-----|
| <b>1. TO</b> <small>(Complete the address for the appropriate records center serving your area.)</small><br><br><div style="text-align: center;"> <b>Federal Records Center</b><br/> <b>4205 Salsland Road</b><br/> <b>Soldland, MD 20409</b> </div> |    |  |          |            |             | <b>5. FROM</b> <small>(Enter the name of complete mailing address of the office retaining the records. This signed receipt of this form will be sent to this address.)</small><br><br><div style="text-align: center;"> <b>JOB-2</b><br/> <b>Records Program Manager</b><br/> <b>NASA Headquarters</b><br/> <b>Washington, DC 20546</b> </div> |     |                    |                                    |               |   |                             |     |     |
| <b>2. AGENCY TRANSFER AUTHORIZATION</b>  |    | <b>TRANSFERRING AGENCY OFFICIAL (Signature and title)</b><br><br><div style="text-align: center;"> <b>Records Program Manager</b> </div> |          |            | <b>DATE</b> |  |     |                    |                                    |               |   |                             |     |     |
| <b>3. AGENCY CONTACT</b>   |    | <b>TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)</b>   |          |            |             |  |     |                    |                                    |               |   |                             |     |     |
| <b>4. RECORDS CENTER RECEIPT</b>   |    | <b>RECORDS RECEIVED BY (Signature and title)</b>   |          |            | <b>DATE</b> |  |     |                    |                                    |               |   |                             |     |     |
| <small>Fold line</small>   |    |  |          |            |             |  |     |                    |                                    |               |   |                             |     |     |
| <b>RECORDS DATA</b>  |    |  |          |            |             |  |     |                    |                                    |               |   |                             |     |     |
| ACCESSION NUMBER   |    | VOLUME   |          | AGENCY BOX |             | SERIES DESCRIPTION   |     | DISPOSAL AUTHORITY |                                    | DISPOSAL DATE |   | COMPLETED BY RECORDS CENTER |     |     |
| RD   | FY | NUMBER   | (Vol. &) | BOX        | NUMBERS     | (With inclusive dates of records)  | (W) | (R)                | (D)                                | (S)           | (L)   | (C)                         | (T) | (M) |
| 335  |    |  |          |            |             |  |     |                    |                                    |               |   |                             |     |     |
| <b>NOTE: ACCESS TO THESE RECORDS IS RESTRICTED TO PERSONS APPROVED BY NASA OFFICIALS.</b>  |    |  |          |            |             |  |     |                    |                                    |               |   |                             |     |     |
| <small>135-106</small><br><small>PerFORM PRO Version</small>   |    |  |          |            |             |  |     |                    |                                    |               | <small>Standard Form 135 (Rev. 8-72)</small><br><small>Prescribed by GSA</small><br><small>FPMR (41 CFR) 101-11.4</small> |                             |     |     |

Fig. 2 — SF-135

Current version at:

Informed -- <ftp://ftp.hq.nasa.gov/forms/form/sf0135.itp>

PDF -- <ftp://ftp.hq.nasa.gov/forms/pdf/sf0135.pdf>







### Basic Guidance:

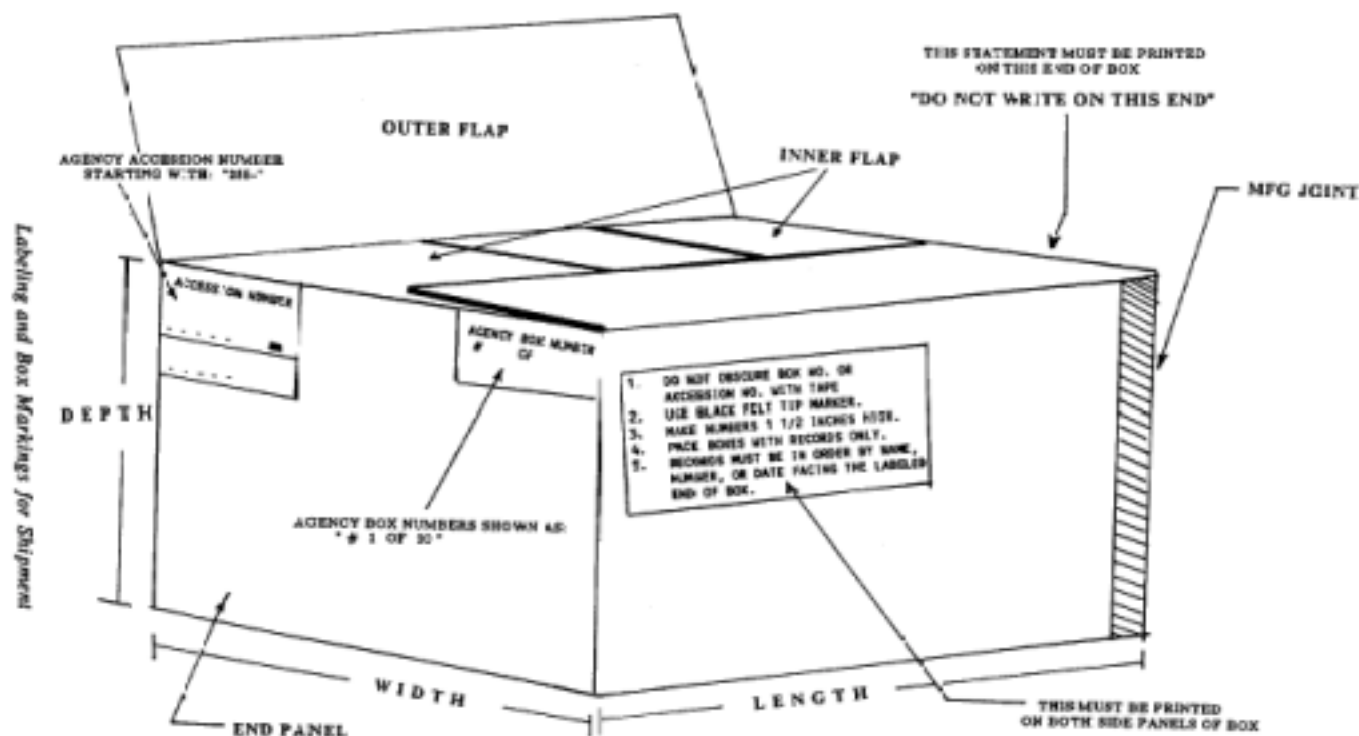
Before any efforts are undertaken to retire records, contact the Installation Records Manager for instructions and assistance.

1. Preparing Records for Transfer:
  - a. Remove all nonrecord material and extra copies;
  - b. Separate records into appropriate series/collections. A series is "a block of records having the same disposition authority and date." Each item or sub-item in this schedule represents a series.
  - c. Retire each series as a separate accession. Mixed series are not be accepted without an approved exception letter generated by the NASA Records Officer. Accessions **MUST** consist of at least one box.
2. Packing Records:
  - a. Use the proper size box when packing records. Consult the Installation Records Manager for boxes.
  - b. Follow assembly instructions provided with boxes. Leave approximately one inch of space in each box for working with the files--more if additional files will be added later. Send only completed or closed files. This prevents separation of file documentation and reduces the amount of vacant space in the box. Leave all guides and tabs in the records if they will assist FRC staff in servicing or retrieving the records.
  - c. Do not overpack boxes. **NEVER** place records/material on the bottom, side, or on top, of other records in the box. NOTE: FRC's will not accept boxes that are not full or padded. This prevents records from sliding or falling out of folders during shipment.
  - d. Pack records, in existing file arrangement, in the box with the folders in an upright position.
  - e. Do not seal the boxes with tape. Fold flaps as instructed.



### 3. Labeling and Shipment:

- a. After receipt of an approved SF 135 by the Installation Records manager, the Accession Number given is written on the upper left corner of each box in the accession.
- b. The Agency box number is written on the upper right corner, beginning with Box Number 1 and includes the total number of boxes in the accession (see Labeling and Box Markings for Shipment figure).
- c. Do NOT use labels to supply additional information. Accession numbers and box number MUST be written directly onto the box with a felt-tip marker.
- d. Installation Records Managers will arrange for shipment within 90 days after receipt of the approved SF 135. If retirement cannot be made within this period, contact the Records Manager. Unexplained delays of more than 90 days will result in the FRC canceling the accession number and returning the SF 135. The entire approval process will have to be started over. This requires the resubmission of paperwork, obtaining approval for shipment and renumbering the boxes with a new accession number.



Labeling and Box Markings for Shipment



Restrictions:

SECRET and CONFIDENTIAL records, coming under the General Declassification Schedule, can and should be retired to FRC's whenever the records are eligible.

TOP SECRET or EXEMPT records from the General Declassification Schedule are NOT eligible for retirement.

CLASSIFIED material may NOT be retired mixed with unclassified material. Folders or records containing classified material must be segregated from those containing unclassified material and must be retired in separate boxes under different accession numbers.

Consult the NASA Physical Security Handbook for minimum standards, procedures, specifications, and guidelines for the protection of classified information in the possession of NASA.

\* Accessioning Security Classified Records:

- a. When the SF 135 is filled out, Item 1 will show the highest level of classification of any of the records in any box included in the accession.
- b. In the column "Description of Records with Inclusive Dates," the following certification will be typed and signed by the head of the office retiring the records:

"This certifies that the records in this accession are subject to the General Declassification Schedule, and all automatic downgrading actions possible have been taken and the documents re-marked accordingly. Based on the most recent date of publication of the highest classified document in this accession, all of the contents of the boxes become unclassified on December 31, XXXX.

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Typed name and signature of Office Head or authorized designee."

- c. Care must be taken in describing classified records on the SF 135 to be sure to exclude classified information from the description.



### Retrieval:

Records can be retrieved from both installation staging areas and FRCs. Requests should be made by completing Optional Form 11 (OF-11), Reference Request - Federal Records Center [see Figure 4].

When completing an OF-11, provide complete delivery information, your name and telephone number, building name, and street address. Always furnish the accession number, agency box number, location (if known), and the nature of the service, i.e., temporary withdrawal, search, permanent withdrawal. The original copy of the OF-11 is used to service the request and the last copy is used to charge out the records. This middle copy is used as a suspense copy for the agency, except when the records are security-classified. NOTE: Records classified "Secret" or higher, the Agency will send all copies of the OF-11 and will retain a photocopy of the form for suspense purposes.

Boxes or individual folders (if properly identified) may be obtained. Use a separate OF-11 for each folder or box requested from a different accession. Two or more contiguous items, folders, or boxes, however, may be treated as one item and requested on one OF-11.

If records are being requested under the provisions of the Freedom of Information Act or the Privacy Act, make a notation to that effect in the "Remarks" section of the OF-11 to ensure priority handling and immediate return.

Any records withdrawn from an FRC should be returned. When boxes or records are withdrawn, all folders should be refilled in their proper place in the boxes before being returned. The borrower is responsible for returning the records as soon as they are no longer needed. If records (boxes or folders) are withdrawn and are not to be returned, the borrower must notify the Installation Records Manager, who will so notify the FRC, so that records can be annotated that it is a "permanent" withdrawal. This permits the FRC to reuse shelf space if the withdrawal involves boxes.







## ELECTRONIC RECORDS

### WHAT IS AN ELECTRONIC RECORD?

Electronically recorded data, or paper records converted, that meet both of the following conditions are Federal records and must be scheduled and cared for appropriately:

1. They are made or received by NASA under Federal law or in connection with the transaction of public business; and,
2. They are preserved or appropriate for preservation as evidence of NASA's activities or because of the value of the information they contain.

#### Electronic records are:

Records that are stored in a form that only a computer can process. Also called machine-readable.

#### Electronic record systems are:

Any information system that produces, processes, or stores records by using a computer.

The same policies and procedures that apply to other record mediums also apply to electronic records with a few exceptions. These exceptions are based on the need to have information about the system, the media being used, and the data being acquired. The National Archives and Records Administration (NARA) has a form to assist in the collection of this information (See Fig. 5).

Only electronic-records systems proposed or designated as "Permanent" must have a completed form accompany the NF 1418 or the SF 258 (See Fig. 6) prior to scheduling or transfer of the records, respectively. Although the form is required for systems designated as "Permanent" it may be used for any e-record system or paper system being converted to an electronic medium. NOTE: Paper systems converted to electronic mediums ARE NOT covered by the current record series disposition, unless specifically identified. These records are considered a new series and MUST be scheduled.

Electronic records shall be scheduled like any other record series in terms of retention and disposition instructions. Differences in maintenance and storage requirements need to be addressed due to the nature of the medium. E-records must be stored in temperature and humidity controlled environments. Special attention must be given to ensure that guidance and procedures for data preservation for long-term operational needs and/or transfer to NARA are identified and implemented. Magnetic tapes must be rotated and sampled annually, whether stored locally or at an FRC.

For additional information on managing electronic records and required forms contact your installation records manager or the NASA Records Officer. A NARA instructional guide entitled, "Managing Electronic Records", dated 1990, is available upon request from your installation records manager.







|  |   |  |
|--|---|--|
| <b>AGREEMENT TO TRANSFER RECORDS TO<br/>THE NATIONAL ARCHIVES OF THE UNITED STATES</b>   |   | 1. INTERIM CONTROL NO. (NARA Use Only) |
| <b>TERMS OF AGREEMENT</b><br>The records described below and on the attached _____ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.<br><br>In accordance with 44 U.S.C. 2106, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR 101, 36 CFR Part 1256, and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist).<br><br>Unless specified and justified below, no restrictions of the use of these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the Guide to the National Archives of the United States. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, nonarchival printed or processed material, or other non-record material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of nonarchival materials contained in this deposit. |   |  |
| 2A. AGENCY APPROVAL<br>Signature _____ Date _____  | 2B. NARA APPROVAL<br>Signature _____ Date _____ |  |
| 3A. NAME, TITLE, MAILING ADDRESS   |   | 3B. NAME, TITLE, MAILING ADDRESS       |

### RECORDS INFORMATION

|   |  |                                     |  |
|---|--|-------------------------------------|--|
| 4A. RECORDS SERIES TITLE  |  |                                     |  |
| 4B. DATE SPAN OF SERIES   |  | (Attach any additional description) |  |
| 5A. AGENCY OR ESTABLISHMENT   | 9. PHYSICAL FORMS  |                                     |  |
| 5B. AGENCY MAJOR SUBDIVISION  | <input type="checkbox"/> Paper Documents <input type="checkbox"/> Posters<br><input type="checkbox"/> Paper Publications <input type="checkbox"/> Maps and Charts<br><input type="checkbox"/> Microfilm/Microfiche <input type="checkbox"/> Arch/Eng Drawings<br><input type="checkbox"/> Electronic Records <input type="checkbox"/> Motion/Sound/Video<br><input type="checkbox"/> Photographs <input type="checkbox"/> Other (specify): _____ |                                     |  |
| 5C. AGENCY MINOR SUBDIVISION  |  |                                     |  |
| 5D. UNIT THAT CREATED RECORDS   | 10. VOLUME: _____ CONTAINERS: _____<br>Cu Mt: _____ Cu Ft: _____ Number: _____ Type: _____   |                                     |  |
| 5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT RECORDS<br>Name: _____<br>Telephone Number: _____   | 11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES   |                                     |  |
| 6. DISPOSITION AUTHORITY  | 12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?<br><input type="checkbox"/> YES<br><input type="checkbox"/> NO (If no, attach limits on use and justification.)  |                                     |  |
| 7. IS SECURITY CLASSIFIED INFORMATION PRESENT? <input type="checkbox"/> YES <input type="checkbox"/> NO<br>LEVEL: <input type="checkbox"/> Confidential <input type="checkbox"/> Secret <input type="checkbox"/> Top Secret<br>SPECIAL MARKINGS: <input type="checkbox"/> RDPD <input type="checkbox"/> SCI <input type="checkbox"/> NATO<br>Other: _____<br>INFORMATION STATUS: <input type="checkbox"/> Other <input type="checkbox"/> Searched <input type="checkbox"/> Declassified | 13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?<br><input type="checkbox"/> YES (If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)<br><input type="checkbox"/> NO   |                                     |  |
| 8. CURRENT LOCATION OF RECORDS<br><input type="checkbox"/> Agency (Complete 8A only)<br><input type="checkbox"/> Federal Records Center (Complete 8B only)  | 14. ATTACHMENTS<br><input type="checkbox"/> Agency Manual Excerpt <input type="checkbox"/> Listing of Records Transferred<br><input type="checkbox"/> Additional Description <input type="checkbox"/> NA Form 14097 or Equivalent<br><input type="checkbox"/> Privacy Act Notice <input type="checkbox"/> Microform Inspection Report<br><input type="checkbox"/> Other (specify): _____ <input type="checkbox"/> SF(s) 135                      |                                     |  |
| 8A. ADDRESS   |  |                                     |  |
| 8B. FRC ACCESSION NUMBER  | CONTAINER NUMBER(S)  | FRC LOCATION                        |  |

### NARA PROVIDES

|  |                                     |    |
|--|-------------------------------------|----|
| 15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION                                |                                     | RG |
| 16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES<br>Signature _____ Date _____ | 17. NATIONAL ARCHIVES ACCESSION NO. |    |

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

SF 258 (2005)  
Prescribed by NARA 36 CFR 1225

Fig. 6 - SF 258, "Agreement To Transfer Records To  
The National Archives of the United States"

Current version at:

Informed -- <http://ftp.hq.nasa.gov/forms/form/sf0258.itp>

PDF -- <http://ftp.hq.nasa.gov/forms/pdf/sf0258.pdf>



## PRIMARY FILES SUBJECT IDENTIFICATION CODES

### 1000-1999 ORGANIZATION

|                                    |      |      |
|------------------------------------|------|------|
| General                            | 1000 |      |
| Organizational Structure           | 1100 |      |
| Internal Management Controls       | 1200 |      |
| External Relationships             | 1300 |      |
| Administrative Management Programs |      | 1400 |
| 5400                               |      |      |
| Administrative Services            | 1500 |      |
| Security                           | 1600 |      |
| 5600                               |      |      |
| Safety                             | 1700 |      |
| 5700                               |      |      |
| Occupational Health                | 1800 |      |
| Standards of Conduct               | 1900 |      |
| 5900                               |      |      |

### 2000-2999 LEGAL AND TECHNICAL

|                                      |      |      |
|--------------------------------------|------|------|
| General (Law and Legal Matters)      | 2000 |      |
| Technology Utilization               | 2100 |      |
| 6100                                 |      |      |
| Scientific and Technical Information | 2200 |      |
| Management Information Systems       | 2300 |      |
| Automatic Data Processing Management | 2400 |      |
| Communications                       | 2500 |      |
| Photographic Services Management     | 2600 |      |
| Information Technology Management    |      | 2800 |
| 6600                                 |      |      |

### 3000-3999 PERSONNEL

|  |      |  |
|--|------|--|
| Human Resources/Personnel General            | 3000 |  |
| Executive Human Resources Management         | 3100 |  |
| Personnel Provisions                         | 3200 |  |
| Employment                                   | 3300 |  |
| 7100   |      |  |
| Employee Performance and Utilization         | 3400 |  |
| Position Classification, Pay, and Allowances | 3500 |  |
| Time and Attendance                          | 3600 |  |
| Personnel Relations and Services             | 3700 |  |
| 7500   |      |  |
| Insurance and Annuities                      | 3800 |  |
| General and Miscellaneous                    | 3900 |  |

### 4000-4999 PROPERTY AND SUPPLY

|                          |      |      |
|--------------------------|------|------|
| General                  | 4000 |      |
| Inventory Management     | 4100 |      |
| Equipment Management     | 4200 |      |
| Utilization and Disposal | 4300 |      |
| Supply Cataloging        |      | 4400 |
| 8200                     |      |      |
| Storage and Distribution | 4500 |      |
| 8300                     |      |      |
| Expanded Supply Control  | 4600 |      |
| 8400                     |      |      |
| 8500                     |      |      |
| 8700                     |      |      |

### 5000-5999 PROCUREMENT

|   |      |
|---|------|
| General                                     | 5000 |
| Procurement (Contracts)                     | 5100 |
| Contractor Labor Relations                  | 5200 |
| Reliability and Quality Assurance           | 5300 |
| Contractor-Held Government Property         |      |
| Patent Waiver                               | 5500 |
| Statement of Work                           |      |
| Awards, Inventions, and Contributions       |      |
| Grants and Cooperative Agreements           | 5800 |
| Contractor Financial Management & Reporting |      |

### 6000-6999 TRANSPORTATION

|  |      |
|--|------|
| General                                      | 6000 |
| Commercial Freight Services                  |      |
| Traffic Management Programs                  | 6200 |
| Transportation of Unusual or Hazardous Cargo | 6300 |
| Preparation and Handling of Cargo            | 6400 |
| Special Airlift Services                     | 6500 |
| Transportation & Transport Engineering       |      |
| Motor Vehicle Operations and Management      | 6700 |
| Passenger Transportation                     | 6800 |

### 7000-7999 PROGRAM FORMULATION

|  |      |
|--|------|
| General                                    | 7000 |
| Research & Development Planning & Approval |      |
| Institutional Planning & Approval          | 7200 |
| Facility Planning & Approval               | 7300 |
| Budget Formulation & Execution             | 7400 |
| Commercialization                          |      |
| Program Operating Plans                    | 7600 |
| Human Resources Utilization                | 7700 |
| Resources Authority Allocation System      | 7800 |
| Aircraft Operations & Management           | 7900 |

### 8000-8999 PROGRAM MANAGEMENT

|                                  |      |
|----------------------------------|------|
| General                          | 8000 |
| Advanced Studies                 | 8100 |
| Supporting Research & Technology |      |
| Grants & Research Contracts      |      |
| Tracking & Data Acquisition      |      |
| Environmental Management         |      |
| Operations                       | 8600 |
| Safety & Mission Assurance       |      |
| Real Property & Facilities       | 8800 |
| Program Medical Support          | 8900 |



## PRIMARY FILES SUBJECT IDENTIFICATION CODES --- CONTINUED

### 9000-9799 FINANCIAL MANAGEMENT

|   |      |
|---|------|
| Principles & General Policies             | 9000 |
| Agencywide Coding Structure               | 9100 |
| Accounting                                | 9200 |
| Financial Reports                         | 9300 |
| Contractor Financial Management Reporting | 9500 |
| Fiscal Operations                         | 9600 |
| NASA Travel Regulations                   | 9700 |

### 9800-9999 INSPECTOR GENERAL FILES -- AUDITS & INVESTIGATIONS

|                        |      |
|------------------------|------|
| Investigations Program | 9800 |
| Audit Program          | 9900 |



# **NASA RECORDS RETENTION SCHEDULE 1**

## **ORGANIZATION AND ADMINISTRATIVE RECORDS**

This records schedule is one of a series of schedules approved by the Archivist of the United States, which furnish authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers/installations or offices. This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

The records described in Schedule 1, are the general, management, and administrative types of records essential to ordinary office operations but distinct from the records of functional activities as set forth in other NASA Records Retention Schedules. Some of the records categorized and listed are found only in offices at the upper management levels; others are found at almost every organizational level. Offices with functional management responsibilities will usually need to consult at least one other schedule, in addition to NRRS 1, in order to effectively control the disposition of their records.

This document is updated frequently, therefore, printed copies may be obsolete, refer to the Change History Log at the beginning of NPG 1441.1 in the NASA Online Directives Information System (NODIS) for current version.



# ORGANIZATION AND ADMINISTRATIVE RECORDS

## SCHEDULE 1 (AFS 1000-1999)

This document is updated frequently, therefore, printed copies may be obsolete, refer to the Change History Log at the beginning of NPG 1441.1 in the NASA Online Directives Information System (NODIS) for current version.

| <u>AFS #</u>     | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|------------------|-------------|--|---|
| <b>1000-1999</b> |             | <b>ORGANIZATION AND GENERAL ADMINISTRATION</b>   | (see below)   |
|                  | <b>0.1</b>  | <b>ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES</b><br><br>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.<br><br>This disposition applies to electronic copies of all items covered under Disposition Jobs N1-255-90-8, N1-255-92-4, and N1-255-94-1, in the NASA Records Retention Schedule 1, with the following exceptions: <ul style="list-style-type: none"> <li>• Item 22 (Records Of Top Management Officials)</li> <li>• Item 72E (Formal Directives, NASA Management Instructions (NMI), Procedural, and Operating Manuals)</li> <li>• Item 77 (Finding Aids)</li> <li>• Item 78C (General Office Files, Tracking and Control Records)</li> <li>• Item 78E (General Office Files, Schedules or Daily Activities)</li> <li>• Item 78F (General Office Files, Administrative Data Bases);</li> <li>• Item 86E (Visual Aids Requisition/Register Files)</li> <li>• Item 86F (Finding Aids For Visual Media/Graphic Arts)</li> </ul> In addition, this disposition does not apply to any item already covered by the General Records Schedules.<br><br>A. Electronic copies created on electronic mail and word processing systems that have no further administrative value after recordkeeping copy is made.<br><br>B. Electronic copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. | DELETE AFTER<br>RECORDKEEPING COPY HAS<br>BEEN PRODUCED AND<br>DISSEMINATION, REVISION, OR<br>UPDATING IS COMPLETED.<br><DA: N9-255-00-01><br><br>DELETE WHEN<br>DISSEMINATION, REVISION OR<br>UPDATING IS COMPLETED.<br><DA: N9-255-00-01> |
| <b>1000</b>      |             | <b>General (e.g., NASA Strategic Plan)</b>   | Contact Center Records Mgr.   |
| <b>1010</b>      |             | <b>Agency Establishment</b>  | Contact Center Records Mgr.   |
| <b>1011</b>      |             | <b>Legislative Authority</b>   | Contact Center Records Mgr.   |
| <b>1012</b>      |             | <b>Executive Authority</b>   | Contact Center Records Mgr.   |
| <b>1020</b>      |             | <b>NASA Seal, Insignia, Logotype, Identifiers, Flags</b>   | Contact Center Records Mgr.   |
| <b>1022</b>      |             | <b>Names, Symbols</b>  | Contact Center Records Mgr.   |
| <b>1030</b>      |             | <b>Honors and Ceremonies (Acceptance)</b>  | Contact Center Records Mgr.   |
| <b>1040</b>      |             | <b>Emergency Preparedness / Planning and Mobilization</b>  | (see below)   |
| 1040             | <b>1</b>    | <b>EMERGENCY DIRECTIVES REFERENCE FILES</b><br><br>Copies of Emergency Operating Directives, plans, and procedures issued by the agency, including delegations of authority, emergency assignments, functions, and instructions (other than those issued in case files), as well as those issued by FEMA, other Federal agencies, state and local governments, and the private sector. (NON-RECORD COPIES)   | DESTROY WHEN OBSOLETE OR<br>SUPERSEDED.<br><DA: N1-255-94-1><br>(N 1-21)  |
| 1040             | <b>2</b>    | <b>EMERGENCY PREPAREDNESS POLICY FILES</b><br>Record copy of each agency-wide or installation emergency directive, plan, and procedure issued by the responsible office, including related background papers and program development reports consisting of a copy of each plan or directive issued.  |   |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# ORGANIZATION AND ADMINISTRATIVE RECORDS

## SCHEDULE 1 (AFS 1000-1999)

This document is updated frequently, therefore, printed copies may be obsolete, refer to the Change History Log at the beginning of NPG 1441.1 in the NASA Online Directives Information System (NODIS) for current version.

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|--|---|
|              |             | <p>A. One record copy of each plan or directive issued, if NOT included in the agency's permanent set of master directives.</p> <p>B. File copy of plan or directive if agency record copy is maintained in a master directives file and all related background materials.</p> <p>C. All other copies.</p>                               | <p>* PERMANENT *</p> <p>CUT OFF WHEN SUPERSEDED AND RETIRE TO FRC WHEN 3 YEARS OLD. TRANSFER TO NARA WHEN 15 YEARS OLD IN 10 YEAR BLOCKS. (e.g., offer 1970-79 block in 1995).<br/>&lt;DA: N1-255-94-1&gt; (N 1-20)</p> <p>DESTROY 3 YEARS AFTER ISSUANCE OF A NEW PLAN OR DIRECTIVE.<br/>[GRS 18-27]</p> <p>DESTROY WHEN OBSOLETE OR SUPERSEDED.<br/>&lt;DA: N1-255-94-1&gt;</p> |
| 1040         | 3           | <p><b>EMERGENCY PLANNING ADMINISTRATIVE CORRESPONDENCE</b></p> <p>Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in these schedules.</p>   | DESTROY WHEN 2 YEARS OLD.<br>[GRS 18-26]  |
| 1040         | 4           | <p><b>EMERGENCY PLANNING AND READINESS REPORTS</b></p> <p>Agency reports of operators tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans, including exercises and trial tests.</p>   | DESTROY WHEN 3 YEARS OLD, OR 1 YEAR AFTER COMPLETION OF NEXT EXERCISE WHICHEVER IS LATER.<br><DA: N1-255-94-1> (N 1-22)   |
| 1040         | 5           | <p><b>OPERATIONS TEST FILES</b></p> <p>Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities and reports (excluding consolidated and comprehensive reports).</p>                           | DESTROY WHEN 3 YEARS OLD.<br>[GRS 18-28]<br>(N 1-23)  |
| 1041         |             | <b>Civil Defense</b>   | Contact Center Records Mgr.   |
| 1042         |             | <b>Emergency Warden Organization</b>   | Contact Center Records Mgr.   |
| 1043         |             | <b>Fallout and Fallout Shelter</b>   | Contact Center Records Mgr.   |
| 1044         |             | <b>Casualty Reporting</b>  | Contact Center Records Mgr.   |
| 1046         |             | <b>Mobilization Readiness</b>  | Contact Center Records Mgr.   |
| 1050         |             | <b>Agreements/Memoranda of Understanding</b>   | (see below)   |
| 1050         | 6           | <p><b>AGREEMENTS: MEMORANDA OF UNDERSTANDING (MOU)</b></p> <p>Signed, original MOUs and Letter Agreements between NASA and others with correspondence and all documents concerning the agreement matters, such as interagency, intra-agency, or international affairs.</p> <p>A. Record copies.<br/>HQ: Office of External Relations</p> | <p>* PERMANENT *</p> <p>RETIRE TO THE CUSTODY OF THE NASA ARCHIVIST OR HISTORIAN. THEY WILL TRANSFER TO NARA WHEN NO LONGER NEEDED TO PREPARE NASA HISTORIES OR</p>   |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

## SCHEDULE 1 (AFS 1000-1999)

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|--------------|-------------|--|--|
|              |             | <p>B. Installations: Office of Primary Responsibility</p> <p>C. All other copies.</p>  | <p>WHEN 10 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>RETIRE TO FRC 2 YEARS AFTER EXPIRATION. TRANSFER TO NARA 10 YEARS AFTER EXPIRATION.<br/>&lt;DA: N1-255-94-1, 6&gt;</p> <p>DESTROY WHEN OBSOLETE OR SUPERSEDED.<br/>&lt;DA: N1-255-94-1&gt;</p> |
| 1050         | 7           | <p><b>AGREEMENTS: INTERAGENCY AND INTRA-AGENCY WITH OTHER GOVERNMENT AGENCIES</b><br/>Case files on agreements between NASA and other Government agencies. Includes correspondence and all documents/materials concerning the agreement.</p> <p>A. Office of primary responsibility.</p> <p>B. All other offices/copies.</p>   | <p>* PERMANENT *<br/>RETIRE TO FRC 2 YEARS AFTER COMPLETION OR EXPIRATION. TRANSFER TO NARA 10 YEARS AFTER COMPLETION / EXPIRATION.<br/>&lt;DA: N1-255-94-1&gt;<br/>(N 1-4)</p> <p>DESTROY WHEN OBSOLETE OR SUPERSEDED.<br/>&lt;DA: N1-255-94-1, 7&gt;</p>                                     |
| 1060         |             | <b>Consultants</b>   | Contact Center Records Mgr.  |
| 1070         |             | <b>History Program</b>   | (see below)  |
| 1070         | 8           | <p><b>HISTORICAL ITEMS/SOURCE FILES</b><br/>Documents that have unusual or immediately recognizable historical significance and are filed among other documents that are scheduled for disposal will be noted and removed from the file before transfer or destruction. Agency histories and selected background materials. Narrative agency histories, including oral history projects prepared by agency historians or public affairs officers or by private historians under contract to the agency. Some background materials (such as interviews with past and present personnel) generated during the research stage may also be selected for permanent retention.</p> <p>A. <u>HISTORY SUBJECT FILES</u> (Located in Agency/Installation History Offices, including any indexes or finding aids if available.)</p> <p>1. 1945 - 1989<br/>Material in this collection dates from 1945 to 1989 and may be contained in boxes, lektriers, or file cabinets. Material is marked and accounted for in two categories: (1) Dated/marked when material is added to collection; and (2) Dated/marked when material is accessed for research purposes.</p> | <p>* PERMANENT *<br/>RETAIN RECORDS IN AGENCY FOR 5 YEARS, STARTING JANUARY 1993. TRANSFER TO NARA NO LATER THAN DECEMBER 31, 1998, UNLESS THERE IS AN AGENCY REQUEST CERTIFYING ACTIVE AGENCY USE AND NEED. SUCH</p>  |

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|--------------|-------------|--|---|
|              |             | <p>2. 1990 and Continuing.<br/>[Note: Excluded are electronic copies of agency documents made for convenient reference.]</p> <p>B. <u>READY REFERENCE MATERIAL</u><br/>Reference material published/sponsored by NASA (Shelf documentation/books).</p>   | <p>REQUEST WILL SPECIFY NEW TRANSFER DATE FOR MATERIAL SO CERTIFIED.<br/>&lt;DA: N1-255-94-1, 8&gt;<br/>(N 1-8)</p> <p>* PERMANENT *<br/>RETAIN IN AGENCY SPACE UNTIL NO LONGER NEEDED OR WHEN 25 YEARS OLD WITH 5 YEARS CONSECUTIVE INACTIVE AGENCY USE OR UNTIL 30 YEARS OLD, WHICHEVER IS LONGER.<br/>&lt;DA: N1-255-94-1, 8&gt;</p> <p>RETAIN INDEFINITELY IN AGENCY SPACE UNTIL NO LONGER NEEDED, OR DESTROY WHEN 75 YEARS OLD, WHICHEVER IS LONGER.<br/>&lt;DA: N1-255-94-1&gt;</p> |
| 1070         | 9           | <p><b>HISTORY OFFICE CONTRACTOR DELIVERABLES (BOOKS)</b><br/>Copies of documents collected and used as source data in preparation of historical volumes. Included are duplicates or copies of correspondence, reports, directives, pamphlets, publications or other official records; preliminary or partial drafts; authors' outline(s); authors' original notes; responses from readers; reviews; and comparable documents.</p> <p>A. Materials related to completed volumes.<br/>(After publication of the finished book.)</p> <p>B. Materials accumulated for future volumes.</p> <p>C. Published materials/books.</p> | <p>RETIRE TO FRC ONE YEAR AFTER PUBLICATION.<br/>DESTROY WHEN 6 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;<br/>(N 1-29)</p> <p>DESTROY WHEN NO LONGER NEEDED.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>TRANSFER ONE COPY ANNUALLY TO NARA.<br/>&lt;DA: N1-255-94-1&gt;</p>  |
| 1070         | 10<br>PASR  | <p><b>HISTORY ARCHIVES BIOGRAPHICAL FILES - NASA 10 HABC</b></p> <p>Biographical data, speeches, and articles by individuals who are of historical significance in aeronautics, astronautics, space science, and other concerns of NASA; correspondence, interviews, and various other tapes and transcripts of program activities.</p>  | <p>MOST FILES ARE RETAINED INDEFINITELY IN AGENCY REFERENCE COLLECTIONS HISTORY OFFICES/ARCHIVES.<br/>DESTROY WHEN NO LONGER NEEDED.<br/>&lt;DA: N1-255-94-1&gt;</p>  |
| 1070         | 11          | <p><b>HISTORY OFFICE FILES - ADMINISTRATIVE</b></p> <p>Routine office files, general correspondence, and other materials related to the</p>  | <p>RETIRE TO FRC WHEN 2 YEARS</p>   |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|---|--|
|              |             | day-to-day operations and management of the history office and its programs.  | OLD. DESTROY WHEN 6 YEARS OLD.<br><DA: N1-255-94-1, 11>  |
|              |             |   |  |
| <b>1080</b>  |             | <b>Generate Knowledge</b>   | Contact Center Records Mgr.  |
| <b>1090</b>  |             | <b>Communicate Knowledge</b>  | Contact Center Records Mgr.  |
| <b>1100</b>  |             | <b>Organizational Structure</b>   | Contact Center Records Mgr.  |
| <b>1101</b>  |             | <b>NASA Organization and Definition of Terms</b>  | (see below)  |
| 1101<br>1410 | <b>12</b>   | <b>ORGANIZATIONAL FILES</b><br><br>A. Organizational charts, NASA Directives, and reorganization studies, graphic illustrations which provide a detailed description of the arrangement and administrative structure of the functional units of an agency. Reorganization studies are conducted to design an efficient organizational framework most suited to carrying out the agency's programs and include materials such as final recommendations, proposals, and staff evaluations. These files also contain administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent of limits of an agency's programs and projects.<br>[NOTE: Excluded from this series are those Organization Charts included in the NASA Directives System -- See Item 72 of this Schedule.]<br><br>B. Management appraisal files, narrative and statistical reports on significant accomplishments, accounts of and rationale for reorganizations, establishment or disestablishment of field installations; special reports on key planning studies, with related papers showing inception, scope, procedure, results, and case files on approved plans, policies, mission, and programs.<br><br>1. Office of Primary Responsibility.<br><br><br>2. All other offices/copies. | * PERMANENT *<br>RETIRE TO FRC WHEN 5 YEARS OLD. TRANSFER TO NARA IN 5 YEAR BLOCKS WHEN 20 YEARS OLD.<br><DA: N1-255-94-1><br>(N 1-3)<br><br><br><br><br><br><br><br><br><br>* PERMANENT *<br>RETIRE TO FRC WHEN 5 YEARS OLD. TRANSFER TO NARA IN 5 YEAR BLOCKS WHEN 20 YEARS OLD.<br><DA: N1-255-94-1><br><br>DESTROY WHEN OBSOLETE, SUPERSEDED, OR WHEN NO LONGER NEEDED.<br><DA: N1-255-94-1> |
|              |             |   | Contact Center Records Mgr.  |
| <b>1102</b>  |             | <b>HQ Institutional Program Office(s) Organization</b>  | Contact Center Records Mgr.  |
| <b>1103</b>  |             | <b>HQ Enterprise Office(s)</b>  | Contact Center Records Mgr.  |
| <b>1104</b>  |             | <b>HQ Functional Office(s)</b>  | Contact Center Records Mgr.  |
| <b>1107</b>  |             | <b>Field Center Organization</b>  | Contact Center Records Mgr.  |
| <b>1120</b>  |             | <b>General Organization Responsibilities</b>  | Contact Center Records Mgr.  |
| <b>1130</b>  |             | <b>Operating Relationships</b>  | (see below)  |
| 1130<br>1410 | <b>13</b>   | <b>FUNCTIONAL STATEMENTS</b><br><br>Formally prepared descriptions of the responsibilities assigned to the senior executive officers of the agency at the division level or higher. If the functional statements are printed in the Code of Federal Regulations (CFR), they are not designated for preservation as a separate series.<br><br>A. <u>RECORD COPIES.</u><br>HQ: OFFICE OF MANAGEMENT OPERATIONS,<br>NASA DIRECTIVES & FEDERAL REGULATIONS  | * PERMANENT *<br>See ITEM 72.<br><DA: N1-255-94-1>   |

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(AFS 1000-1999)

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|--------------|-------------|--|--|
|              |             | (Record copy is included in NMI, NPD/NPG System)<br><br>B. <u>INSTALLATIONS</u> . Office of Primary Responsibility.<br><br>C. All other copies.  | (N 1-2)<br><br>* PERMANENT *<br>See Above.<br><DA: N1-255-94-1, 13><br><br>DESTROY WHEN OBSOLETE,<br>SUPERSEDED, OR NO LONGER<br>NEEDED.<br><DA: N1-255-94-1>  |
| <b>1150</b>  |             | <b>Committees/Boards/Councils/Panels/Working Groups</b>  | (see below)  |
| 1150         | <b>14</b>   | <b>COMMITTEES, BOARDS, COUNCILS, PANELS, AND CONFERENCES</b><br><br>[NOTE: Excluded from this series are those records created by the Inventions and Contributions Board -- See Item 16 of this Schedule. NOTE: For Routine and Ad Hoc Conferences and Meetings -- See Item 19 of this Schedule.]<br><br>A. Records relating to establishment, organization, membership, and policy.<br><br>1. Intra-agency, advisory, or international.<br><br>2. Internal or interagency.<br><br>B. Records created by committees . . . and conferences.<br><br>1. Agendas, directives, minutes, reports (interim and final), reports covering general operations of the group, records relating to establishment, revision, or termination of a program/project, and records documenting the accomplishments of the group.<br><br>(a) Office file of the group maintained by the sponsor, to the group, Chairperson, or other designee.<br><br>(b) All other copies.<br><br>2. All other records produced by the group. | * PERMANENT *<br>RETIRE TO FRC WHEN 2 YEARS OLD. TRANSFER TO NARA WHEN 20 YEARS OLD.<br><DA: N1-255-94-1, 14><br>(N 1-6, N 1-7, N 24-12, N 24-13)<br><br>DESTROY 2 YEARS AFTER TERMINATION OR DISSOLVEMENT OF COMMITTEE.<br>[GRS 16-8a]<br><br>* PERMANENT *<br>RETIRE TO FRC WHEN 2 YEARS OLD. TRANSFER TO NARA WHEN 20 YEARS OLD.<br><DA: N1-255-94-1><br><br>DESTROY WHEN 3 YEARS OLD OR WHEN NO LONGER NEEDED FOR REFERENCE, WHICHEVER IS SOONER.<br>[GRS 16-8b(1)]<br><br>DESTROY WHEN 3 YEARS OLD OR WHEN NO LONGER NEEDED FOR REFERENCE, WHICHEVER IS SOONER.<br>[GRS 16-8b(2)] |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|--|---|
|              |             | 3. Records maintained by individual members.   | DESTROY UPON TERMINATION OF MEMBERSHIP, OR WHEN NO LONGER NEEDED, WHICHEVER IS SOONER.<br><DA: N1-255-94-1>   |
| 1150         | 15          | <b>CONGRESSIONAL COMMITTEE FILES</b><br><br>A. Correspondence with members of Congress regarding information about NASA that is to be used for Congressional Committees, hearings, or briefings (THIS INCLUDES TESTIMONIAL TO).<br><br>B. Transcripts of NASA Hearings before Congressional Committees (edited).   | * PERMANENT *<br>RETIRE TO FRC WHEN 5 YEARS OLD. TRANSFER TO NARA WHEN 20 YEARS OLD.<br><DA: N1-255-94-1> (N 1-13)<br><br>DESTROY WHEN 15 YEARS OLD.<br><DA: N1-255-94-1>   |
| 1152         |             | <b>Intra-Agency</b>  | Contact Center Records Mgr.   |
| 1154         |             | <b>Inter-Agency</b>  | Contact Center Records Mgr.   |
| 1156         |             | <b>Advisory Committees/Groups</b>  | Contact Center Records Mgr.   |
| 1160         |             | <b>Special Lines of Succession</b>   | Contact Center Records Mgr.   |
| 1170         |             | <b>Inventions and Contributions Board</b>  | (see below)   |
| 1170         | 16          | <b>INVENTIONS AND CONTRIBUTIONS BOARD RECORDS AND FILES</b><br><br>A. Minutes of meetings of the Inventions and Contributions Board.<br><br>1. Record copy.<br>HQ: BOARD OF CONTRACT APPEALS<br><br>2. Installations.<br>Monetary Awards Only (Significant).<br><br>3. All other copies.<br><br>B. Copies of documents/records created by the Board that are maintained at field installations or by Board members.<br><br>C. Alphabetical files, by contributor, on contributions NOT considered for award; files include correspondence, evaluations, and all related papers/records.<br><br>D. Alphabetical files, by contributor, on contributions considered for award; files include correspondence, evaluations, recommendations by the Inventions and Contributions Board and the Administrator Board and the Administrator and all related records/documentation. | * PERMANENT *<br>TRANSFER TO NARA WHEN 5 YEARS OLD.<br><DA: N1-255-94-1><br><br>RECORDS ARE SUBMITTED TO NASA HQ BY COGNIZANT TU PROGRAM OR PATENT PROGRAM AS APPLICABLE.<br><DA: N1-255-94-1><br><br>DESTROY WHEN NO LONGER NEEDED.<br><DA: N1-255-94-1><br><br>DESTROY WHEN NO LONGER NEEDED.<br><DA: N1-255-94-1><br><br>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 23 YEARS OLD.<br><DA: N1-255-94-1> (N 13-17)<br><br>RETIRE TO FRC WHEN 3 YEARS OLD. DESTROY WHEN 22 YEARS OLD.<br><DA: N1-255-94-1> (N 13-17)<br><br>RETIRE TO FRC AFTER CASE IS |

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|--------------|-------------|--|---|
|              |             | <p>E. Denied Award Hearings Files. Case files on hearings evolving from denied awards from the Inventions and Contributions Board.</p> <p>F. Award case files/applications that have been microfilmed.</p> <p>1. Paper Records.</p> <p>2. Microfilm/microfiche Records.</p>  | <p>CLOSED. DESTROY WHEN 25 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;<br/>(N 13-18)</p> <p>DESTROY WHEN MICROFILM/MICROFICHE HAS BEEN VERIFIED.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 25 YEARS OLD WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p>  |
| <b>1180</b>  |             | <b>NASA Board of Contract Appeals</b>  | (see below)   |
| 1180         | <b>17</b>   | <p><b>NASA BOARD OF CONTRACT APPEALS CASE FILES</b><br/><b>GOVERNMENT COUNSEL'S CASE FILES</b></p> <p>Appeals before the NASA Board of Contract Appeals consisting of Notices of Appeal, complaint, answer and/or motion, correspondence, transcripts of proceedings before the Board, exhibits, briefs in support of the parties positions taken under the disputes clause of a NASA contract, and Board decisions, together with working papers of the trail attorney charged with representing NASA before the Board.</p>   | <p>RETIRE TO FRC 2 YEARS AFTER BOARD HAS RENDERED ITS DECISION OR CASE IS SETTLED. DESTROY WHEN 6 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;<br/>(N 13-22)</p>  |
| 1180         | <b>18</b>   | <p><b>BOARD OF CONTRACT APPEALS CASE FILES</b></p> <p>Records of appeals of NASA contractors under the disputes clause of a NASA contract, including findings and final decisions of NASA contracting officers, pleadings, transcripts of hearings, briefs, exhibits, and related correspondence, memoranda, working papers, Board decisions, and other related papers/documentation.</p> <p>A. Records created prior to October 1, 1979.<br/>Case in which the appeal was withdrawn or settled.</p> <p>B. Cases in which the Board rendered a decision.</p> <p>C. Records created after September 30, 1979.<br/>Cases in which the appeal was withdrawn or settled.</p> | <p>RETIRE TO FRC 2 YEARS AFTER YEAR IN WHICH APPEAL WAS WITHDRAWN OR SETTLED. DESTROY 6 YEARS, 3 MONTHS, AFTER FINAL ACTION ON DECISION.<br/>[GRS 3-15a]</p> <p>RETIRE TO FRC 6 YEARS AFTER YEAR IN WHICH DECISION WAS RENDERED. DESTROY WHEN 11 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 17-49)</p> <p>DESTROY 1 YEAR AFTER FINAL ACTION ON DECISION.<br/>[GRS 3-15b]</p> |
| <b>1200</b>  |             | <b>Internal Management Controls</b>  | (see below)   |
| 1200         | <b>19</b>   | <p><b>SYMPOSIA AND CONFERENCE FILES — MANAGEMENT</b></p> <p>Files (including invitations, attendance records, agenda, minutes, reports, etc.) of</p>   | RETIRE TO FRC WHEN 1 YEAR   |

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|--------------|-------------|---|---|
|              |             | routine and ad hoc conferences and meetings, such as meetings of non-project working groups and task groups, included are staff meetings related largely to administrative matters.   | OLD. DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-1><br>(N 1-39, N 24-14)  |
| 1200         | 20          | <b>COMMITTEE MANAGEMENT OFFICERS - FEDERAL ADVISORY COMMITTEE ACT FILES</b><br><br>Records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act, including copies of charters, membership lists, agendas, policy statements, and material required to be available for public information.  | DESTROY 5 YEARS AFTER TERMINATION OF COMMITTEE.<br>[GRS 16-8c]  |
| 1210         |             | <b>Fundamental Principles</b>   | Contact Center Records Mgr.   |
| 1216         |             | <b>Work Management</b>  | (see below)   |
| 1216         | 21          | <b>SPECIAL PRIORITIES ASSISTANCE FILES</b><br><br>Documents used in requesting, coordinating, and granting priorities.<br><br>A. Office of Primary Responsibility.<br><br>B. All other offices/copies.  | RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 10 YEARS OLD.<br><DA: N1-255-94-1> (N 17-18)<br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-1>   |
| 1216         | 22          | <b>RECORDS OF TOP MANAGEMENT OFFICIALS</b><br><br>A. <u>UPPER LEVEL MANAGEMENT - ADMINISTRATOR, DEPUTY, ASSOCIATES, etc.</u><br><br>Office of the Administrator, Deputy, Associate Administrator, Assistant Administrator, Installation Director, or equivalent management levels (construed to include the heads of any organizational level which has been delegated the responsibility of serving as "office of record" or "Office of Primary Responsibility" (OPR)).<br><br>Files for these office contain materials reflecting policy, studies, and analyses and program development, including correspondence and informal notes between NASA officials; with private sources, foreign governments, and other U.S. Government agencies. Files/correspondence making up the "official file copy." Records included in this series may consist of calendars, appointment books, schedules, which contain a record of official conferences/meetings and other communications, official logs/diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities while serving in an official capacity, created and maintained in hard copy or electronic form. NOTE: Excluded from this series are Personal Papers. (See NARA Management Guide, Personal Papers of Executive Branch Officials. )<br><br>-- HQ: OFFICE OF THE ADMINISTRATOR (Office of Primary Responsibility (OPR): ADMINISTRATOR'S CORRESPONDENCE UNIT (ACC). This collection may or may not capture the files physically located in the Office of the Administrator.<br><br>B. <u>DIVISION OFFICES AND LOWER</u><br><br>Files of Division offices and lower, will normally contain correspondence of a routine nature. This correspondence generally consists of inquiries and replies that can be answered with available information. Records of other than those defined in "A" above containing substantive information relating to official | * PERMANENT *<br>RETIRE TO FRC WHEN 5 YEARS OLD IN 5 YEAR BLOCKS.<br>TRANSFER TO NARA WHEN 10 YEARS OLD.<br><DA: N1-255-94-1> (N 1-1)<br><br>DESTROY OR DELETE WHEN 2 YEARS OLD.<br>[GRS 23-5a] |

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**SCHEDULE 1**  
(AFS 1000-1999)

| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OF RECORD SERIES   | RETENTION<br><Authority>   |
|-------|------|--|--|
|       |      | <p>activities.</p> <p>C. <u>ROUTINE MATERIAL</u></p> <p>Routine materials containing NO substantive information regarding the daily activities of other than high level officials as defined in "A" above; and records of all Federal employees containing substantive information, the substance of which has been incorporated into official files.</p>  | <p>DESTROY OR DELETE WHEN NO LONGER NEEDED FOR CONVENIENCE OF REFERENCE [GRS 23-5b]</p>  |
| 1216  | 23   | <p><b><u>LANGLEY CENTRAL CORRESPONDENCE FILES (LaRC ONLY)</u></b></p> <p>A. NACA/NASA Correspondence System (Dated: 1940 to December 1984)</p> <p>These files consist of general administrative, project, and program incoming and outgoing correspondence received at LaRC maintained in microfilm format. Records include the associated "File Code Log Books" (paper copy only). This record series also includes the computer print-outs containing the roll number for image on file (paper copy). Document is considered a finding aid. Documents were filmed by subject code vs. date therefore documentation is intermixed.</p> <p>B. Document Locator Number Central Correspondence File (DLN File)</p> <p>These files start with the period January 1985 and consist of general administrative, project, and program incoming and outgoing correspondence received at LaRC maintained in microfilm format.</p> <p>1. Paper originals as received.</p> <p>2. Microfilm copies.</p> <p>These records are in microfilm format and are operated on an IBM or compatible system and documents/records are located on this system via the use of a "Keyword" search program. (SEE ITEM 3.)</p> <p>(a) DLN copy.</p> <p>(b) Original and duplicate.</p> | <p>* PERMANENT *</p> <p>MAINTAIN ON-SITE IN THE CORRESPONDENCE AND RECORDS MANAGEMENT SECTION (CODE 101) UNTIL NO LONGER NEEDED FOR REFERENCE USE. TRANSFER TO NARA 20 YEARS AFTER DATE OF LAST DOCUMENT FILMED. (TRANSFER IMMEDIATELY.)<br/>&lt;DA: N1-255-94-1&gt;</p> <p>MICROFILM RECORDS WITHIN 6 MONTHS OF RECEIPT, CREATING 2 SILVER HALIDE COPIES. DESTROY PAPER COPIES UPON VERIFICATION OF MICROFILM IMAGE WITHIN 1 MONTH OF FILMING PROCESS.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>RETAIN ON-SITE IN THE CORRESPONDENCE AND RECORDS MANAGEMENT SECTION UNTIL NO LONGER NEEDED. OFFER TO LaRC HISTORY OFFICE AT THAT TIME. DESTROY WHEN 75 YEARS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS EARLIER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *</p> <p>TRANSFER TO NARA IN 5 YEAR BLOCKS WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

# SCHEDULE 1 (AFS 1000-1999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|---|--|
|              |             | 3. LaRC Correspondence System.<br>This system serves as the finding aid to the DLN Central Correspondence Files. (This system was established in 1985.) [Covers 1985 to Present.]   | * PERMANENT *<br>TRANSFER DATA AND SUPPORTING DOCUMENTATION TO NARA IN 5 YEAR BLOCKS. TRANSFER 1 COPY OF THE PROGRAM AND DOCUMENTATION, 1 COPY OF THE DATABASE INFORMATION, ASSOCIATED DOCUMENTATION, AND A USER'S MANUAL WITH THE FIRST TRANSFER OF PERMANENT MICROFILME AS IDENTIFIED IN ITEM 2. TRANSFER ANY UPDATES WITH SUBSEQUENT TRANSFERS OF MICROFILM.<br><DA: N1-255-94-1> |
| 1216         | <b>24</b>   | <b>TRANSITORY OR TEMPORARY INTERNAL ADMINISTRATIVE FILES</b><br><br>Administrative operations files of organizational offices of a routine or temporary nature concerning administrative matters. Papers of short-term interest, which have no documentary or evidential value. Examples of such correspondence are below:<br><br>A. Requests for information or publications - Routine requests for information, publications, or other printed material, and copies of replies which require no administrative action, no policy decision, and no special compilation or research for the reply.<br><br>B. Letters of transmittal - Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.<br><br>C. Quasi-official notices. Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar papers. | DESTROY WHEN 3 MONTHS OLD.<br>[GRS 23-7]   |
| 1216         | <b>25</b>   | <b>ROUTINE CONTROL FILES</b><br><br>Job control records, status cards, routing slips, work processing sheets, correspondence control forms, receipts for records charge-out, and other similar records used solely to control or document the status of correspondence, reports, or other records that are authorized for destruction.  | REMOVE FROM RELATED RECORDS AND DESTROY OR DELETE WHEN 2 YEARS OLD OR 2 YEARS AFTER THE DATE YEARS OLD OR 2 YEARS AFTER THE DATE APPLICABLE.<br>[GRS 23-8] (N 24-18)   |
| <b>1220</b>  |             | <b>Role of General Management</b>   | Contact Center Records Mgr.  |
| <b>1230</b>  |             | <b>Program Management</b>   | Contact Center Records Mgr.  |
| <b>1240</b>  |             | <b>Functional Management</b>  | (see below)  |
| 1240         | <b>26</b>   | <b>INTERNAL MANAGEMENT FILES</b><br><br>Records relating to internal management and operation of the unit.  | DESTROY WHEN 2 YEARS OLD.<br>[GRS 13-6]  |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|---|--|
| 1250         |             | <b>Institutional Management</b>   | Contact Center Records Mgr.  |
| 1260         |             | <b>Budget (Management of)</b>   | Contact Center Records Mgr.  |
| 1270         |             | <b>Productivity and Quality Enhancement — TQM</b>   | Contact Center Records Mgr.  |
| 1280         |             | <b>Quality Management Systems</b>   | (see below)  |
| 1280         | 26.5        | <b>QUALITY MANAGEMENT FILES</b><br><br>Files related to the status of the overall effectiveness of the Quality System at the NASA installations. Records include audits, oversight of corrective action, management review activities, quality system metrics evaluations, and correspondence with external auditor.<br><br>A. <u>Installation-Office of Primary Responsibility.</u> Recordkeeping copy (paper)<br><br>B. <u>All Other Offices.</u> Recordkeeping copy (paper)<br>(When not covered elsewhere in these schedules.)<br><br>C. Electronic copies generated on office automation applications such as E-mail and word processing applications. | DESTROY WHEN 7 YEARS OLD.<br><DA: N1-255-99-3><br><br>DESTROY WHEN 3 YEARS OLD<br>OR WHEN NO LONGER<br>NEEDED, WHICHEVER IS<br>SOONER.<br><DA: N1-255-99-3><br><br>DELETE AFTER<br>RECORDKEEPING COPY HAS<br>BEEN PRODUCED.<br><DA: N1-255-99-3>                             |
| 1300         |             | <b>External Relationships</b>   | Contact Center Records Mgr.  |
| 1305         |             | <b>Escort Services</b>  | Contact Center Records Mgr.  |
| 1310         |             | <b>Legislative Branch</b>   | Contact Center Records Mgr.  |
| 1311         |             | <b>Congress</b>   | (see below)  |
| 1311         | 27          | <b>CONGRESSIONAL CORRESPONDENCE FILES</b><br><br>A. Correspondence with Members of Congress concerning agency policy or the status of major programs or projects.<br><br>B. Correspondence with Congressmen regarding the states they represent and letters from their constituents requesting information about space or NASA activities.<br><br>C. Publications requests from Congressmen for copies of NASA publications which required no formal reply.   | RETIRE TO FRC WHEN 4 YEARS<br>OLD. DESTROY WHEN 15<br>YEARS OLD.<br><DA: N1-255-94-1> (N 1-15)<br><br>RETIRE TO FRC WHEN 2 YEARS<br>OLD. DESTROY WHEN 5 YEARS<br>OLD.<br><DA: N1-255-94-1><br><br>DESTROY 1 YEAR AFTER<br>PUBLICATION IS SENT.<br><DA: N1-255-94-1> (N 1-16) |
| 1311         | 28          | <b>REPORTS TO CONGRESS</b><br><br>Statutory and other reports requested by Congress concerning NASA activities.<br><br>A. HQ: Office of Legislative Affairs.<br>(Office of Primary Responsibility)<br><br>B. All other offices/copies.  | * PERMANENT *<br>RETIRE TO FRC WHEN 2 YEARS<br>OLD. TRANSFER TO NARA<br>WHEN 15 YEARS OLD.<br><DA: N1-255-94-1> (N 1-12)<br><br>DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-1>   |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|--|---|
|              |             |  |   |
| 1312         |             | <b>General Accounting Office (GAO)</b>   | (see below)   |
| 1312         | 29          | <b>GENERAL ACCOUNTING OFFICE (GAO) EXCEPTIONS FILES/NOTICES</b><br><br>GAO notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence.  | DESTROY 1 YEAR AFTER EXCEPTION HAS BEEN REPORTED AS CLEARED BY GAO.<br>[GRS 6-2] (N 2-2)  |
|              |             |  |   |
| 1313         |             | <b>Government Printing Office (GPO)</b>  | Contact Center Records Mgr.   |
| 1314         |             | <b>Library of Congress</b>   | Contact Center Records Mgr.   |
| 1315         |             | <b>Judicial Branch</b>   | Contact Center Records Mgr.   |
| 1316         |             | <b>Supreme Court of the United States</b>  | Contact Center Records Mgr.   |
| 1320         |             | <b>Executive Branch</b>  | (see below)   |
| 1320         | 30          | <b>LEGISLATION FILES — PROPOSED</b><br><br>A. Documents accumulated in the preparation and processing of legislation proposed by or in the interest of NASA. Includes drafts of legislation, reports to committees on introduced legislation, and comments on, including coordination through center legal office(s) with final sub missions to Headquarters, on legislative proposals. This series includes case files on each proposed item of legislation and files are kept and maintained, and broken in this fashion.<br><br>OPR: NASA Headquarters, Office of Legislative Affairs<br><br>B. Offices providing information, feeder reports, or pertinent documentation documentation to cognizant Headquarters office concerning the proposed legislation.<br><br>C. All other offices/copies. | RETIRE TO FRC 5 YEARS AFTER PROPOSAL IS ENACTED INTO LAW OR IS KILLED. DESTROY WHEN 15 YEARS OLD.<br><DA: N1-255-94-1><br><br>DESTROY WHEN 10 YEARS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS SOONER.<br><DA: N1-255-94-1><br><br>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE PURPOSES.<br><DA: N1-255-94-1> |
|              |             |  |   |
| 1322         |             | <b>Office of the White House</b>   | Contact Center Records Mgr.   |
| 1323         |             | <b>Office of Management and Budget (OMB)</b>   | Contact Center Records Mgr.   |
| 1325         |             | <b>Executive Agencies / Departments</b>  | Contact Center Records Mgr.   |
| 1328         |             | <b>Department of Defense</b>   | (see below)   |
| 1328         | 31          | <b>MILITARY REPORTS</b><br><br>Reports and copies of documents from the Departments of the Army, Navy, Air Force, and Defense.   | DESTROY WHEN NO LONGER NEEDED.<br><DA: N1-255-94-1> (N 1-33)  |
|              |             |  |   |
| 1330         |             | <b>Independent Establishments and Government Corporations</b>  | Contact Center Records Mgr.   |
| 1340         |             | <b>State and Local Government</b>  | Contact Center Records Mgr.   |
| 1350         |             | <b>Nongovernmental Organizations</b>   | Contact Center Records Mgr.   |
|              |             |  |   |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|---|---|
| <b>1355</b>  |             | <b>University Affairs</b>   | (see below)   |
| 1355         | <b>32</b>   | <b>UNIVERSITY AFFAIRS PROGRAM FILES</b><br><br>These are case files kept alphabetically by individual, by program. Case files will typically include, but not be limited to, application forms, transcripts, proposals, and letters of recommendations, as appropriate for each program. Records in this series may include any other associated correspondence or documentation related to the operation and functions of the program.<br><br>Programs include, but are not limited to:<br><br>Advanced Designee Program NASA/USRA<br>ASEE Summer Faculty Fellowship Program<br>Graduate Program in Aeronautics<br>Graduate Student Researchers Program (GSRP)<br>Graduate Student Researchers Program/UMF<br>Historically Black Colleges and Universities (HBCU)<br>Space Technology Development and Utilization Program (STDP)<br>Joint Institute for Advancement of Flight Sciences (JIAFS)<br>Langley Aerospace Research Summer Scholars Program (LARSS)<br>NASA Space Engineering Research Center Program<br>National Research Council (NRC) Resident Research Associateship Program<br>National Space Grant College and Fellowship Program<br>Other Minority University Programs<br><br>A. Office of Primary Responsibility: University Affairs<br><br>B. All other offices/copies.<br><br>C. Rosters or lists of participants/individuals in respective programs. | RETAIN ON-SITE. DESTROY 5 YEARS AFTER COMPLETION OF RESPECTIVE PROGRAM.<br><DA: N1-255-94-1><br><br>DESTROY WHEN NO LONGER NEEDED OR WHEN REFERENCE VALUE CEASES.<br><DA: N1-255-94-1><br><br>DESTROY WHEN NO LONGER NEEDED.<br><DA: N1-255-94-1> |
| <b>1356</b>  |             | <b>General NASA University Policy and Relationships</b>   | Contact Center Records Mgr.   |
| <b>1357</b>  |             | <b>Unsolicited Proposals from Universities</b>  | Contact Center Records Mgr.   |
| <b>1358</b>  |             | <b>Functional Management of University Programs</b>   | Contact Center Records Mgr.   |
| <b>1359</b>  |             | <b>University R&amp;D Support</b>   | Contact Center Records Mgr.   |
| <b>1360</b>  |             | <b>International Affairs/Programs</b>   | (see below)   |
| 1360         | <b>33</b>   | <b>INTERNATIONAL CORRESPONDENCE</b><br><br>Correspondence with private individuals outside of the U.S. requesting information or publications.  | DESTROY 2 YEARS AFTER RESPONSE TO REQUEST.<br><DA: N1-255-94-1> (N 1-11)  |
|              |             |   |   |
|              |             |   |   |
|              |             |   |   |
| <b>1362</b>  |             | <b>Cooperative Projects</b>   | (see below)   |
| 1362         | <b>34</b>   | <b>INTERNATIONAL ACTIVITIES FILES</b><br><br>Case files on NASA international activities; includes correspondence, reports, agreements, and all related papers.   | * PERMANENT *<br>TRANSFER TO NARA WHEN  |

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|--------------|-------------|--|---|
|              |             |  | ACTIVITY CEASES, OR WHEN<br>30 YEARS OLD.<br><DA: N1-255-94-1> (N 1-10)   |
|              |             |  |   |
| 1365         |             | <b>International Organizations</b>   | Contact Center Records Mgr.   |
| 1367         |             | <b>Support of Overseas Operations</b>  | Contact Center Records Mgr.   |
| 1370         |             | <b>Foreign Visits and Visitors</b>   | (see below)   |
| 1370         | <b>35</b>   | <b>FOREIGN NATIONAL VISITORS FILES</b><br><br>Documents relating to the visits of foreign nationals, including authorizations, security clearances, itineraries, correspondence, and reports.  | DESTROY 2 YEARS AFTER<br>TERMINATION OF VISIT.<br><DA: N1-255-94-1> (N 19-17)   |
|              |             |  |   |
| 1370         | <b>36</b>   | <b>VISITOR OPINION CARDS</b><br><br>Forms completed by visitors to field installations showing their opinion of the facilities, etc.   | DESTROY 6 MONTHS AFTER<br>VISIT.<br><DA: N1-255-94-1> (N 19-20)   |
|              |             |  |   |
| 1371         |             | <b>Foreign National Access to NASA</b>   | Contact Center Records Mgr.   |
| 1373         |             | <b>NASA Travel Abroad</b>  | Contact Center Records Mgr.   |
| 1374         |             | <b>International Fellowships</b>   | Contact Center Records Mgr.   |
| 1376         |             | <b>Resident Research Associateships</b>  | Contact Center Records Mgr.   |
| 1378         |             | <b>Training of Foreign Nationals</b>   | Contact Center Records Mgr.   |
| 1380         |             | <b>Public Affairs</b>  | (see below)   |
| 1380         | <b>37</b>   | <b>COMMUNITY RELATIONS FILES</b><br><br>A. Documentation showing the development, maintenance, and improvement of relations between NASA and the community.<br><br>GSFC: These are meetings between local leaders in business/political areas to show/demonstrate what GSFC is doing in the local community, rotary clubs, Chamber of Commerce, etc.<br><br>B. Records relating to speeches, tours, personal appearances, and other such routine activities. | DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-1> (N 19-19)<br><br><br><br><br><br><br><br><br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-1> (N 19-19)  |
|              |             |  |   |
| 1380         | <b>38</b>   | <b>STATISTICAL REPORTS FILES</b><br><br>Statistics regarding public affairs activities of field installations for use in compiling semiannual report, including statistics regarding dissemination of publications and number of publications in stock.<br><br>A. HQ: Public Affairs (OPR)<br><br>B. Installations: Office of Primary Responsibility<br><br>C. All other offices/copies.   | DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-1> (N 19-8)<br><br><br>DESTROY WHEN 3 YEARS OLD.<br><DA: N1-255-94-1> (N 19-8)<br><br><br>DESTROY WHEN 1 YEAR OLD<br>OR WHEN NO LONGER<br>NEEDED, WHICHEVER IS<br>SOONER.<br><DA: N1-255-94-1> (N 19-8) |
|              |             |  |   |

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|--------------|-------------|---|--|
| 1380         | 39          | <p><b>NASA PERIODIC INFORMATION SERIES - HOUSE ORGANS</b></p> <p>Periodic newsletters, bulletins, or similar types of publications containing information relating to installation facilities, operations, significant project(s) and mission development, and any other information of interest to NASA employees.</p> <p>NOTE: Any specific series of bulletins, magazines, or newsletters not identified within this series should be referred to the Installation Records Manager or the Agency Records Officer for clarification and disposal instructions.</p> <p>A. <u>AMES RESEARCH CENTER</u> - "Astrogram" (8 1/2 x 11)<br/> Issued: BI-WEEKLY (26/yr)<br/> OPR: Office of External Relations, Media Services / Code DXI</p> <ol style="list-style-type: none"> <li>1958 - 1990 (Hard Copy)<br/> (1989 format chg - 9 x 12)<br/> (1990 format chg - 8 1/2 x 11)</li> <li>1991 - Continuing (8 1/2 x 11)</li> </ol> <p>B. <u>DRYDEN FLIGHT RESEARCH CENTER</u> - "X-Press" (11 x 17)<br/> Issued: MONTHLY<br/> OPR: Office of External Affairs</p> <ol style="list-style-type: none"> <li>1960-1994 (Hard Copy)</li> <li>1995 and Continuing</li> </ol> <p>C. <u>GODDARD SPACE FLIGHT CENTER</u> - "Goddard News"<br/> Issued: MONTHLY<br/> OPR: Public Affairs/Code 130</p> <ol style="list-style-type: none"> <li>1958 - 1982 (Microfiche Only)</li> <li>1982 - 1990 (Hard Copy Only)</li> </ol> | <p>* PERMANENT *<br/> TRANSFER TO NARA BY<br/> JANUARY 1, 1996.<br/> &lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/> TRANSFER ONE ORIGINAL TO<br/> NARA IN ONE YEAR BLOCKS<br/> AT THE END OF EACH<br/> CALENDAR YEAR (TRANSFER<br/> ANNUALLY).<br/> &lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/> TRANSFER TO NARA UPON<br/> APPROVAL OF THIS<br/> SCHEDULE.<br/> &lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/> TRANSFER ONE ORIGINAL TO<br/> NARA IN ONE YEAR BLOCKS<br/> AT THE END OF EACH<br/> CALENDAR YEAR.<br/> &lt;DA: N1-255-94-1&gt;</p> <p>N1-255-92-4</p> <p>* PERMANENT *<br/> TRANSFER IMMEDIATELY TO<br/> THE LEGAL CUSTODY OF<br/> NARA. RECORDS IN THIS<br/> MEDIA HAVE BEEN INSPECTED<br/> AND CERTIFIED IN<br/> ACCORDANCE WITH 36 CFR,<br/> PART 1230.</p> <p>* PERMANENT *<br/> TRANSFER IMMEDIATELY TO<br/> THE LEGAL CUSTODY OF<br/> NARA.</p> |

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|--|--|
|              |             | 3. 1991 and Continuing (Hard Copy)   | * PERMANENT *<br>TRANSFER ONE ORIGINAL TO NARA IN ONE YEAR BLOCKS AT THE END OF EACH CALENDAR YEAR (TRANSFER ANNUALLY).  |
|              |             | <p>D. <u>NASA HEADQUARTERS</u></p> <p>(a) House Organ - "HQ Bulletin"<br/>Issued: BI-WEEKLY (1 Issue in December)<br/>OPR: Administrative Services Branch / Code JOB-2</p> <p>1. July 1965 - 1985 (Microfiche)</p> <p>2. 1986 - 1994 (Hard Copy)</p> <p>3. 1995 and Continuing (Hard Copy).</p> <p>(b) "NASA Magazine" Issued: Quarterly<br/>OPR: Office of Public Affairs</p> <p>This is a quarterly publication which includes stories or information on activities and programs within the Agency or external organizations affecting NASA, including feature stories and a cover story.</p> <p>(c) "NASA Heads Up" / "Human Resources Bulletin" or similar type news bulletins published in-house.</p>   | <p>* PERMANENT *<br/>TRANSFER TO NARA BY JANUARY 1, 1996.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>TRANSFER TO NARA BY JANUARY 1, 1996.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>TRANSFER ONE ORIGINAL TO NARA IN ONE YEAR BLOCKS AT THE END OF EACH CALENDAR YEAR (TRANSFER ANNUALLY).<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>TRANSFER ONE ORIGINAL TO NARA IN ONE YEAR BLOCKS AT THE END OF EACH CALENDAR YEAR.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> |
|              |             | <p>E. <u>JET PROPULSION LABORATORY</u> - "Universe" Format 11" x 17"<br/>Issued: BI-WEEKLY<br/>OPR: Public Affairs Office</p> <p>1. 1959 - 1976 (Hard Copy) "Lab-Oratory" Format 8 1/2" x 11"<br/>January 1959 - November/December 1976 (incomplete).<br/>1959 - Vol 8, No. 6 through 1975 No. 5<br/>1976 - No. 1 through No. 6</p> <p>2. 1970 - 1989 (Hard Copy) "Universe"<br/>August 1970 - 1989 (incomplete)<br/>1970 - Vol. 1, No. 1 through No. 10;<br/>1971 - Vol. 1, No. 12 through 1981 - Vol. 11, No. 22;<br/>1981 - Vol. 11, No. 25 through 1982 - Vol. 12, No. 20;<br/>1982 - Vol. 12, No. 22;<br/>1982 - Vol. 12, No. 24 through Vol. 13, No. 1;<br/>1983 - Vol. 14, No. 11;<br/>1986 - Vol. 16, No. 11;<br/>1988 - Vol. 19, No. 9;</p> | <p>* PERMANENT *<br/>TRANSFER UPON APPROVAL OF THIS SCHEDULE.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>TRANSFER TO NARA IN ONE YEAR INCREMENTS STARTING JANUARY 1, 1995.<br/>&lt;DA: N1-255-94-1&gt;</p>   |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

## SCHEDULE 1 (AFS 1000-1999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|---|--|
|              |             | 1989 - Vol. 19, No. 22.<br><br>3. 1990 and Continuing (Hard Copy)   | * PERMANENT *<br>TRANSFER ONE ORIGINAL TO NARA IN ONE YEAR BLOCKS AT THE END OF EACH FISCAL YEAR (TRANSFER ANNUALLY).<br><DA: N1-255-94-1>   |
|              |             | F. <u>JOHNSON SPACE CENTER</u> - "Space News Roundup"<br>Issued: WEEKLY<br>OPR: PAO, Media Services Branch/Code AP<br><br>1. 1961 - 1990 (Hard Copy)<br>Space News Roundup was issued in the size and frequency as follows:<br>1961 - Irregular; columnar format 11 x 16 1/2<br>1962 - Bi-weekly<br>1988 - Weekly<br><br>2. 1991 and Continuing (Hard Copy)   | * PERMANENT *<br>TRANSFER TO THE LEGAL CUSTODY OF NARA BY AUGUST 1, 1995.<br><DA: N1-255-94-1><br><br>* PERMANENT *<br>TRANSFER ONE ORIGINAL TO NARA IN ONE YEAR BLOCKS AT THE END OF EACH CALENDAR YEAR (TRANSFER ANNUALLY).<br><DA: N1-255-94-1> |
|              |             | G. <u>KENNEDY SPACE CENTER</u> - "Spaceport News" Format 9 1/2 x 12 1/2<br>Issued: BI-WEEKLY (26 issues/year)<br>OPR: Office of Public Affairs / Code PA-PIB<br><br>1. 1965 - 1989 (Hard Copy)<br>Spaceport News was published irregularly the first two years; publication was as follows:<br>1965 (2 Issues, starting 6/23/66);<br>1966 (39 issues) Printed as follows:<br>#1-#16 (dated 4/21/66); Issue #'s 17, 18, & 19 Skipped;<br>20 (dated 4/28/66) - 23; #'s 24, 25, & 26 were printed twice on the dates indicated:<br>First 24 dated: 5/26/66 - Second 24 dated: 6/16/66<br>First 25 dated: 6/02/66 - Second 25 dated: 6/23/66<br>First 26 dated: 6/09/66 - Second 26 dated: 6/30/66<br>#27-39<br>1967 (26 Issues) [Issue #25 Skipped: 1-24, 26, & 27]<br>1970 (27 Issues)<br>1973-74 (25 Issues)<br>1979 (28 Issues)<br>1980 (27 Issues)<br>1981 (25 Issues)<br>1986 (25 Issues)<br>1989 (25 Issues)<br><br>2. 1990 and Continuing (Hard Copy) | * PERMANENT *<br>TRANSFER IMMEDIATELY TO THE LEGAL CUSTODY OF NARA.<br><DA: N1-255-94-1><br><br>* PERMANENT *<br>TRANSFER ONE ORIGINAL TO NARA IN ONE YEAR BLOCKS AT THE END OF EACH CALENDAR YEAR (TRANSFER ANNUALLY).<br><DA: N1-255-94-1>       |
|              |             | H. <u>LANGLEY RESEARCH CENTER</u>   |  |

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|---|---|
|              |             | <p>(a) House Organ - "Researcher News" (11x17 format)<br/>Issued: BI-WEEKLY (25 issues/year)<br/>OPR: LaRC Public Affairs/Code 115</p> <p>1. 11/30/44 - 11/24/44 "LMAL Bulletin" (8 1/2 x 11 format)<br/>(Langley Memorial Aeronautical Laboratory) (Hard Copy)</p> <p>2. 12/1/44 - 9/14/62 "Air Scoop" (8 1/2 x 11 format)</p> <p>3. 9/28/62 - 7/3/87 "Langley Researcher" (8 1/2 x 11 format)</p> <p>4. 7/17/87 - 12/14/90 "Researcher News" (11 x 17 format)</p> <p>5. 1991 and Continuing (Hard Copy)</p> <p>(b) Informational Newsletter - "LaRC This Week"<br/>This series consists of a newsletter which provides information to Center personnel on notifications of meetings (internal and external), on-site activities, and operational information for the center.</p>  | <p>N1-255-92-4</p> <p>* PERMANENT *<br/>TRANSFER IMMEDIATELY TO THE LEGAL CUSTODY OF NARA.</p> <p>SEE ABOVE DISPOSITION FOR 1.</p> <p>SEE ABOVE DISPOSITION FOR 1.</p> <p>SEE ABOVE DISPOSITION FOR 1.</p> <p>* PERMANENT *<br/>TRANSFER ONE ORIGINAL TO NARA IN ONE YEAR BLOCKS AT THE END OF EACH CALENDAR YEAR (TRANSFER ANNUALLY).</p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-92-4&gt;</p> |
|              |             | <p>I. <u>LEWIS RESEARCH CENTER</u><br/><b>NOTE: Center name changed to Glenn Research Center at Lewis Field on March 1, 1999.</b></p> <p>- "Lewis News"<br/>Issued: BI-WEEKLY<br/>OPR: PAO/Code</p> <p>1. 1942 - 1958 "<u>Wing Tips</u>" (Started as a Weekly Publication)<br/>10/27/42 - 10/15/43 <b>Vol. 1</b>, No. 1 - No. 49 (<b>8 x 10 1/2 format</b>)<br/>10/25/43 - 12/04/43 <b>Vol. 2</b>, No. 1 - No. 4 No. 5 - <b>NOT PUBLISHED</b><br/>12/24/43 - 10/28/44 No. 6 - No. 39 (<b>5 1/4 x 8 format</b>)<br/>2 extra issues w/out numbers/dates published<br/>May 1944 and September 1944:<br/>{5/13 = No. 19; 5/20 = No. <del>48</del> 20; 5/27 = No. 21}<br/>{7/08 = No. 26; 7/15 = No. 27; 7/22 = No. 28; 7/29 = <del>28</del> 29}<br/>{8/05 = No. <del>29</del> 30; 8/19 = No. 30; 8/26 = No. 31}<br/>{9/02 = No. <del>30</del> 32; 9/16 = No. 33}<br/>11/04/44 - 12/16/44 <b>Vol. 3</b>, No. 1 - No. 4<br/>NOTE: Publication became irregular after Vol.3, Issue No. 4. In addition, the word "weekly" was removed from the title line.<br/>01/05/45 - 10/19/45 No. 5 - No. 24 (<b>8 x 10 1/2 format</b>)<br/>11/02/45 - 10/18/46 <b>Vol. 4</b>, No. 1 - No. 26<br/>11/01/46 - 10/24/47 <b>Vol. 5</b>, No. 1 - No. 26<br/>{7/25 = No. 20; 8/8 = <del>20</del> 21; 8/22 = No. 22}<br/>11/07/47 - 11/12/48 <b>Vol. 6</b>, No. 1 - No. 26<br/>11/26/48 - 12/23/49 <b>Vol. 7</b>, No. 1 - No. 26<br/>{5/13 = No. 12; 5/27 = No. 13; 6/10 = No. <del>40</del> 14; 6/24 - No. 15}<br/>{9/30 = No. 21; 10/14 = No. 22; 11/2 = No. <del>22</del> 23; 11/29 = No. 24}<br/>01/13/50 - 02/09/51 <b>Vol. 8</b>, No. 1 - No. 26<br/>02/23/51 - 06/15/51 <b>Vol. 9</b>, No. 1 - No. 9<br/>07/27/51 - 08/31/51 No. 10 - No. 11 (<b>8 1/2 x 11 format</b>)</p> | <p>* PERMANENT *<br/>TRANSFER TO NARA BY NO LATER THAN DECEMBER 31, 1995. (TRANSFER HARD COPY, OR IF UNAVAILABLE MICROFILM.)<br/>&lt;DA: N1-255-94-1&gt;</p>  |

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|--------------|-------------|---|--|
|              |             | <p>09/28/51 No. 12 <b>(8 x 10 1/2 format)</b><br/> 10/12/51 - 04/11/52 No. 13 - No. 26 <b>(8 1/2 x 11 format)</b><br/> 04/25/52 - 03/06/53 <b>Vol. 10,</b> No. 1 - No. 20<br/> 03/20/53 No. 21 <b>(7 x 9 format)</b><br/> 04/03/53 - 05/29/53 No. 22 - No. 26 <b>(8 1/2 x 11 format)</b><br/> {5/1 = No. 24 - 2 Sheets: <b>10 1/2 x 8 format</b>}<br/> 06/12/53 - 06/26/53 <b>Vol. 11,</b> No. 1 - No. 2<br/> 07/10/53 No. 3 <b>(7 x 10 format)</b><br/> 07/24/53 No. 4 <b>(6 3/4 x 10 format)</b><br/> 08/07/53 No. 5 <b>(6 3/4 x 10 1/2 format)</b><br/> 08/21/53 - 09/04/53 No. 6 - No. 7 <b>(6 3/4 x 10 format)</b><br/> 01/08/54 - 01/21/55 <b>Vol. 12,</b> No. 1 - No. 27 <b>(8 x 10 1/2 format)</b><br/> Note there were 2 Issue Nos. 26:<br/> 1/7/55 = No. 26; 1/21/55 = No. 26-27<br/> 02/04/55 - 09/30/55 <b>Vol. 13,</b> No. 1 - No. 18<br/> 10/14/55 - 12/23/55 <b>Vol. 14,</b> No. 19 - No. 24<br/> NOTE: There were no issues numbered 1 through 18 for Volume 14.<br/> 01/06/56 - 12/21/56 <b>Vol. 15,</b> No. 1 - No. 26<br/> 01/02/57 - 12/23/57 <b>Vol. 16,</b> No. 1 - No. 26<br/> Vol. 16 = No. 1 - No. 18; 08/28/57<br/> Vol. 15 = No. 19 - No. 26; 09/11/57 - 12/23/57<br/> {Above issues printed as Vol. 15 (XV) and corrected by pen to show<br/> as Vol. 16 (XVI)}<br/> 01/15/58 - 09/12/58 <b>Vol. 16,</b> No. 1 - No. 18<br/> NOTE: This is not a duplication of Vol. Number 16 (XVI) it is a <u>repeat</u><br/> usage of the volume number.</p>   |  |
|              |             | <p>I. <u>LEWIS RESEARCH CENTER</u> - "Lewis News" -- CONTINUED</p> <p>2. 1958 - 1962 "Orbit"<br/> 09/30/58 - 12/05/58 <b>Vol. 16,</b> No. 1 - No. 6 <b>(8 x 10 1/2 format)</b><br/> Set includes 6 pg Christmas issue; No volume/issue/date<br/> NOTE: This is a CONTINUATION of Volume 16, "Wing Tips" - this<br/> break reflects a name change only NOT a new volume.<br/> 01/09/59 - 03/13/59 <b>Vol. 17,</b> No. 1 - No. 6<br/> Issue No. 5 (2/27/59) printed as Vol. 16 (XVI);<br/> "I" added to make 17 (XVII).<br/> 03/27/59 No. 7 <b>(7 3/4 x 10 1/2 format)</b><br/> 04/14/59 - 12/18/59 No. 8 - No. 26 <b>(8 x 10 1/2 format)</b><br/> 01/08/60 - 05/20/60 <b>Vol. 18,</b> No. 1 - No. 10<br/> 06/15/60 - 07/08/60 No. 11 - No. 13<br/> Above issues printed as Vol. 17 (XVII); "I" added to make 18 (XVIII).<br/> 07/22/60 No. 14<br/> 08/12/60 No. 14 a<br/> 2 issues printed with same number; "a" hand-written on second issue.<br/> 08/26/60 - 12/02/60 No. 15 - No. 20<br/> Set includes 6 pg Christmas issue: No volume/issue/date<br/> 01/27/61 - 05/05/61 <b>Vol. 19,</b> No. 1 - No. 9 <b>(8 x 10 1/2 format)</b><br/> Note on Issue No. 9 says No. 10 is missing; Issue 10 is included.<br/> 05/12/61 No. 10<br/> 05/19/61 - 06/02/61 No. 11 - No. 13<br/> 06/09/61 No. 13 a<br/> 2 issues printed with same number; "a" hand-written on second issue.<br/> 06/16/61 - 12/08/61 No. 14 - No. 35<br/> 01/12/62 - 01/12/62 <b>Vol. 20,</b> No. 1<br/> NOTE: Nothing was published between January 12, 1962, through February 28, 1964.</p> | <p>* PERMANENT *<br/> TRANSFER TO NARA BY NO<br/> LATER THAN DECEMBER 31,<br/> 1995. (TRANSFER HARD COPY,<br/> OR IF UNAVAILABLE<br/> MICROFILM.)<br/> &lt;DA: N1-255-94-1&gt;</p> |
|              |             | <p>3. 1964 - 1990 "Lewis News"<br/> 02/28/64 - 12/24/64 <b>Vol. 1,</b> No. 1 - No. 23 <b>(9 1/2 x 12 1/4 format)</b><br/> 01/08/65 - 12/24/65 <b>Vol. 2,</b> No. 1 - No. 26<br/> 01/07/66 - 01/21/66 <b>Vol. 3,</b> No. 1 - No. 2<br/> 01/23/66 25th Anniversary Issue</p>  | <p>* PERMANENT *<br/> TRANSFER TO NARA NO LATER<br/> THAN DECEMBER 31, 1995.<br/> &lt;DA: N1-255-94-1&gt;</p>  |

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|--------------|-------------|--|---|
|              |             | <p>02/04/66 - 09/30/66 No. 3 - No. 20<br/> 10/12/66 - 10/28/66 No. 21 - No. 22 <b>(9 1/2 x 12 1/8 format)</b><br/> 11/10/66 - 12/23/66 No. 23 - No. 26 <b>(9 1/2 x 12 1/4 format)</b><br/> 01/06/67 - 09/29/67 <b>Vol. 4,</b> No. 1 - No. 20<br/> [10/06/67 Combined Federal Campaign Issue]<br/> 10/13/67 - 12/22/67 No. 20 - No. 26<br/> 2 issues printed with same number: No. 20;<br/> second issue "21" is hand-written.<br/> 01/05/68 - 08/16/68 <b>Vol. 5,</b> No. 1 - No. 17<br/> 08/30/68 No. <del>17</del> 18 (over-written)<br/> 09/13/68 - 09/27/68 No. 19 - No. 20<br/> [09/30/68 Combined Federal Campaign Issue]<br/> 10/11/68 - 12/20/68 No. 21 - No. 26<br/> 01/03/69 - 07/03/69 <b>Vol. 6,</b> No. 1 - No. 14<br/> 07/18/69 No. <del>18</del> 15 <b>(11 x 17 format)</b><br/> Issue printed No. 18; Changed to No. 15<br/> 08/01/69 - 09/26/69 No. 16 - No. 20<br/> [10/03/69 Combined Federal Campaign Issue]<br/> 10/10/69 - 11/07/69 No. 21 - No. 23<br/> Special Issue: "1969 Enters History" <b>(9 x 12 format)</b><br/> Reprinted 7 pg article from <i>The Cleveland</i> (Aug. 69)<br/> 01/02/70 - 09/25/70 <b>Vol. 7,</b> No. 1 - No. 20<br/> [10/03/70 Combined Federal Campaign Issue]<br/> 10/09/70 - 12/18/70 No. 21 - No. 26<br/> 12/31/70 - 06/04/71 <b>Vol. 8,</b> No. 1 - No. 12<br/> [10/08/71 Combined Federal Campaign Issue]<br/> 06/018/71 - 07/16/71 No. 13 - No. 15<br/> 07/16/71 - Special Anniversary Issue "30 Years"<br/> 07/30/71 - 12/17/71 No. 16 - No. 26<br/> 12/17/71 - Special Benefits Issue<br/> 12/31/71 - 09/22/72 <b>Vol. 9,</b> No. 1 - No. 20<br/> [09/22/72 Combined Federal Campaign Issue]<br/> 10/06/72 - 12/29/72 No. 21 - No. 27</p> |   |
|              |             | <p>I. <u>LEWIS RESEARCH CENTER</u> - "Lewis News" -- CONTINUED</p> <p>3. 1964 - 1990 "Lewis News" -- CONTINUED<br/> 01/12/73 - 09/21/73 <b>Vol. 10,</b> No. 1 - No. 19<br/> [09/21/73 Combined Federal Campaign Issue]<br/> 10/01/73 - 11/11/74 No. 20 - No. 28<br/> Between issues No. 26 &amp; 27 - special booklet entitled "Technology in the Service of Man" - LeRC 1973; also blue poster on "Exploring Space for All Mankind." NOTE: These documents were inserted into the middle of the Issues and is included as a part of the Series.<br/> 01/25/74 - 0-9/20/74 <b>Vol. 11,</b> No. 1 - No. 18<br/> [09/20/74 Combined Federal Campaign Issue]<br/> 10/04/74 - 12/27/74 No. 19 - No. 25<br/> 01/10/75 - 09/19/75 <b>Vol. 12,</b> No. 1 - No. 19<br/> [09/19/75 Combined Federal Campaign Issue]<br/> 10/03/75 - 12/24/75 No. 20 - No. 25<br/> 01/09/76 - 05/28/76 <b>Vol. 13,</b> No. 1 - No. 11<br/> 06/11/76 No. 12<br/> NOTE: This is a Special Bicentennial Issue Vol. 1, No. 1, Published ever 200 years.<br/> 06/25/76 - 10/01/76 No. 13 - No. 20<br/> [10/01/76 Combined Federal Campaign Issue]<br/> 10/15/76 - 12/23/76 No. 21 - No. 26<br/> 01/07/77 - 09/30/77 <b>Vol. 14,</b> No. 1 - No. 20<br/> 9/30/77 Combined Federal Campaign Issue; and Fire Safety News, Safety Office to Lewis News<br/> NOTE: Issue No. 20 has both of the above publications printed directly in the middle of the issue; these were printed as supplements and were inserted into the issue.<br/> 10/14/77 - 12/23/77 No. 21 - No. 26</p>   | <p>* PERMANENT *<br/> TRANSFER TO NARA NO LATER THAN DECEMBER 31, 1995.</p> |

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|--------------|-------------|---|---|
|              |             | <p>01/06/78 - 09/29/78 <b>Vol. 15</b>, No. 1 - No. 20<br/>           9/29/78 Combined Federal Campaign Issue<br/>           10/13/78 - 12/22/78 No. 21 - No. 26<br/>           01/05/79 - 09/14/79 <b>Vol. 16</b>, No. 1 - No. 19<br/>           9/14/79 Combined Federal Campaign Issue<br/>           09/28/79 - 12/21/79 No. 20 - No. 25<br/>           01/04/80 - 10/24/80 <b>Vol. 17</b>, No. 1 - No. 23<br/>           10/24/80 Combined Federal Campaign Issue<br/>           11/07/80 No. <del>23</del> 24 (over-written)<br/>           11/21/80 - 12/19/80 No. 25 - No. 27<br/>           01/02/81 - 12/31/81 <b>Vol. 18</b>, No. 1 - No. 27<br/>           01/15/82 - 02/12/82 <b>Vol. 19</b>, No. 1 - No. 3<br/>           02/26/82 No. <del>3</del> 4 (over-written)<br/>           03/12/82 - 01/03/83 No. 5 - No. 26<br/>           01/14/83 - 01/28/83 <b>Vol. 20</b>, No. 1 - No. 2<br/>           02/04/83 Special Edition<br/>           02/11/83 - 12/30/83 No. 3 - No. 26<br/>           01/13/84 - 12/28/84 <b>Vol. 21</b>, No. 1 - No. 26<br/>           01/11/85 - 06/28/85 <b>Vol. 22</b>, No. 1 - No. 13<br/>           07/26/85 - 12/27/85 No. 14 - No. 25 <b>(11 1/4 x 17 1/2 format)</b><br/>           01/10/86 - 12/26/86 <b>Vol. 23</b>, No. 1 - No. 25<br/>           01/09/87 - 12/24/87 <b>Vol. 24</b>, No. 1 - No. 26<br/>           01/08/88 - 06/24/88 <b>Vol. 25</b>, No. 1 - No. 13<br/>           07/22/88 Vol. <del>26</del> 25 No. <del>1</del> 14 (over-written)<br/>           NOTE: Issue was printed as Vol. 26, No. 1; and corrected to reflect Vol. 25, No. 14.<br/>           08/05/88 - 12/23/88 No. 15 - No. 25<br/>           01/06/89 - 04/14/89 <b>Vol. 26</b>, No. 1 - No. 8<br/>           No. 9 - <b>MISSING</b><br/>           05/18/89 - 12/22/89 No. 10 - No. 25<br/>           01/05/90 - 12/21/90 <b>Vol. 27</b>, No. 1 - No. 24</p> |   |
|              |             | <p>4. 1991 and Continuing "Lewis News" (Hard Copy)</p> <p><b>NOTE: Lewis Research Center name changed to Glenn Research Center at Lewis Field on March 1, 1999.</b></p>   | <p>* PERMANENT *</p> <p>TRANSFER ONE ORIGINAL TO NARA IN ONE YEAR BLOCKS AT THE END OF EACH CALENDAR YEAR (TRANSFER ANNUALLY).<br/>           &lt;DA: N1-255-94-1&gt;</p>   |
|              |             | <p>J. <u>MARSHALL SPACE FLIGHT CENTER</u> - "Marshall Star"<br/>           Issued: WEEKLY<br/>           OPR: Internal Relations &amp; Communications Department / Code CD40<br/>           NOTE: Changed from Public Affairs/Code CA01 October 1, 1999.</p> <p>1992 and Continuing (Hard Copy)<br/>           (Marshall Star is published on a Fiscal year).</p> <p>K. <u>STENNIS SPACE CENTER</u> - "Lagniappe"<br/>           Issued: MONTHLY<br/>           OPR: Public Affairs/Code</p> <p>1. 1977 - 1990 (Hard Copy)<br/>           (Vol. 1, Issue 1)</p> <p>2. 1991 and Continuing (Hard Copy)</p>   | <p>* PERMANENT *</p> <p>TRANSFER ONE ORIGINAL TO NARA IN ONE YEAR BLOCKS AT THE END OF EACH FISCAL YEAR (TRANSFER ANNUALLY).<br/>           &lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *</p> <p>TRANSFER IMMEDIATELY TO THE LEGAL CUSTODY OF NARA - SOUTHEAST REGION, EAST POINT, GEORGIA.<br/>           &lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *</p> <p>TRANSFER ONE ORIGINAL TO NARA, SOUTHEAST REGION, IN</p> |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

## SCHEDULE 1 (AFS 1000-1999)

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| <u>AFS #</u> | <u>ITEM</u>           | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-----------------------|---|--|
|              |                       |   | ONE YEAR BLOCKS AT THE END OF EACH CALENDAR YEAR (TRANSFER ANNUALLY).<br><DA: N1-255-94-1>   |
| 1380         | <b>40</b><br><br>PASR | <b>BIOGRAPHICAL RECORDS FOR PUBLIC AFFAIRS - NASA 10 BRPA</b><br><br>Current biographical information about principal and prominent management and staff officials, program and project managers, scientists, engineers, speakers, other selected employees, involved in newsworthy activities, and other participants in agency programs, with a recent photograph when available. Data items are those generally required by NASA or the news media in preparing news or feature stories about the individual and/or the individual's activity with NASA.   | RECORDS ARE MAINTAINED AS LONG AS THERE IS POTENTIAL PUBLIC INTEREST IN THEM AND ARE DISPOSED OF WHEN NO LONGER REQUIRED.<br><DA: N1-255-94-1>   |
| 1380         | <b>41</b>             | <b>AUDIENCE REPORT FORMS</b>  | DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-1><br>(N 19-11)  |
| <b>1382</b>  |                       | <b>Release of Information</b>   | (see below)  |
| 1382         | <b>42</b>             | <b>PRIVACY ACT REQUEST FILES</b><br><br>Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or a copy thereof.<br><br>A. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).<br><br>1. Granting access to all the requested records.<br><br>2. Responding to requests for non-existent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.<br><br>(a) Requests NOT appealed.<br><br>(b) Requests appealed.<br><br>3. Denying access to all or part of the records requested.<br><br>(a) Requests NOT appealed.<br><br>(b) Requests appealed.<br><br>B. Official file copy of requested records. | DESTROY 2 YEARS AFTER DATE OF REPLY.<br>[GRS 14-21a(1)]<br><br>DESTROY 2 YEARS AFTER DATE OF REPLY.<br>[GRS 14-21a(2)(a)]<br><br>DESTROY AS AUTHORIZED UNDER ITEM 43.<br>[GRS 14-21a(2)(b)]<br><br>DESTROY 5 YEARS AFTER DATE OF REPLY.<br>[GRS 14-21a(3)(a)]<br><br>DESTROY AS AUTHORIZED UNDER ITEM 43.<br>[GRS 14-21-a(3)(b)]<br><br>DISPOSE OF IN ACCORDANCE WITH APPROVED AGENCY DISPOSITION INSTRUCTIONS |

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|--------------|-------------|--|--|
|              |             |  | FOR THE RELATED RECORDS, OR WITH THE RELATED PRIVACY ACT REQUEST, WHICHEVER IS LATER.<br>[GRS 14-21(b)]  |
| 1382         | <b>43</b>   | <b>PRIVACY ACT AMENDMENT CASE FILES</b><br><br>Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided for under 5 U.S.C. 552a(g).<br><br>A. Requests to amend agreed to by agency.<br>Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.<br><br>B. Requests to amend refused by agency.<br>Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.<br><br>C. Appealed requests to amend.<br>Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record. | DISPOSE OF IN ACCORDANCE WITH THE APPROVED DISPOSITION INSTRUCTIONS FOR THE RELATED SUBJECT INDIVIDUAL'S RECORD OR 4 YEARS AFTER AGENCY'S AGREEMENT TO AMEND, WHICHEVER IS LATER.<br>[GRS 14-22a]<br><br>DISPOSE OF IN ACCORDANCE WITH THE APPROVED DISPOSITION INSTRUCTIONS FOR THE RELATED SUBJECT INDIVIDUAL'S RECORD, OR 4 YEARS AFTER FINAL DETERMINATION BY THE AGENCY, OR 3 YEARS AFTER FINAL ADJUDICATION BY COURTS, WHICHEVER IS LATER.<br>[GRS 14-22b]<br><br>DISPOSE OF IN ACCORDANCE WITH THE APPROVED DISPOSITION INSTRUCTIONS FOR RELATED SUBJECT INDIVIDUAL'S RECORD OR 3 YEARS AFTER FINAL ADJUDICATION BY COURTS, WHICHEVER IS LATER.<br>[GRS 14-22c] |
| 1382         | <b>44</b>   | <b>PRIVACY ACT ACCOUNTING OF DISCLOSURE FILES</b><br><br>Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.  | DISPOSE OF IN ACCORDANCE WITH THE APPROVED DISPOSITION INSTRUCTIONS FOR THE RELATED SUBJECT INDIVIDUAL'S RECORDS OR 5 YEARS AFTER THE DISCLOSURE FOR WHICH THE ACCOUNTABILITY WAS MADE, WHICHEVER IS LATER.<br>[GRS 14-23]   |
| 1382         | <b>45</b>   | <b>PRIVACY ACT CONTROL FILES</b>   |  |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|---|--|
|              |             | Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of the requestor.<br><br>A. Registers or listings.<br><br>B. All other office/copies.  | DESTROY 5 YEARS AFTER DATE OF LAST ENTRY.<br>[GRS 14-24(a)]<br><br>DESTROY 5 YEARS AFTER FINAL ACTION BY THE AGENCY OR FINAL ADJUDICATION BY COURTS, WHICHEVER IS LATER.<br>[GRS 14-24(b)] |
| 1382         | <b>46</b>   | <b>PRIVACY ACT REPORTS FILES</b><br><br>Recurring reports and one-time information requirement relating to agency implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report on New Systems.<br><br>A. NASA Annual reports to Congress maintained at agency level office at Headquarters.<br><br>B. All other reports/copies.   | * PERMANENT *<br>RETIRE TO FRC WHEN 5 YEARS OLD. TRANSFER TO NARA WHEN 15 YEARS OLD.<br><DA: N1-255-94-1><br><br>DESTROY WHEN 2 YEARS OLD.<br>[GRS 14-25]                                  |
| 1382         | <b>47</b>   | <b>PRIVACY ACT GENERAL ADMINISTRATIVE FILES</b><br><br>Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.   | DESTROY WHEN 2 YEARS OLD.<br>[GRS 14-26]   |
| 1382         | <b>48</b>   | <b>PRESS SERVICE FILES</b><br><br>Press service teletype news and similar materials.  | DESTROY WHEN 3 MONTHS OLD. [GRS 14-3]  |
| 1382         | <b>49</b>   | <b>FREEDOM OF INFORMATION ACT (FOIA) REQUESTS FILES</b><br><br>Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record or copy thereof.<br><br>A. Correspondence and supporting documents (EXCLUDING the official file copy of the copy of the records requested if filed herein).<br><br>1. Granting access to all the requested records.<br><br>2. Responding to requests for non-existent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees. | DESTROY 2 YEARS AFTER DATE OF REPLY.<br>[GRS 14-11a(1)]  |

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|--------------|-------------|--|--|
|              |             | <p>(a) Requests NOT appealed.</p> <p>(b) Requests appealed.</p> <p>3. Denying access to all or part of the records requested.</p> <p>(a) Requests NOT appealed.</p> <p>(b) Requests appealed.</p> <p>B. Official File copy of requested records.</p>   | <p>DESTROY 2 YEARS AFTER DATE OF REPLY.<br/>[GRS 14-11a(2)(a)]</p> <p>DESTROY 6 YEARS AFTER FINAL DETERMINATION BY AGENCY OR 6 YEARS AFTER THE TIME AT WHICH A REQUESTER COULD FILE SUIT OR 3 YEARS AFTER FINAL ADJUDICATION BY THE COURTS, WHICHEVER IS LATER.<br/>[GRS 14-11a(2)(b)]</p> <p>DESTROY 6 YEARS AFTER DATE OF REPLY.<br/>[GRS 14-11a(3)(a)]</p> <p>DESTROY 6 YEARS AFTER FINAL DETERMINATION BY AGENCY OR 6 YEARS AFTER THE TIME AT WHICH A REQUESTER COULD FILE SUIT OR 3 YEARS AFTER FINAL ADJUDICATION BY THE COURTS, WHICHEVER IS LATER.<br/>[GRS 14-11a(3)(b)]</p> <p>DISPOSE OF IN ACCORDANCE WITH PROPER SCHEDULE ITEM OR WITH THE RELATED FOIA REQUEST, WHICHEVER IS LATER.<br/>[GRS 14-11b]</p> |
| 1382         | <b>50</b>   | <b>FOIA REPORTS</b><br><br>Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, including annual reports to the Congress.<br><br>A. NASA Annual Reports to Congress maintained at the agency level.<br>Record Copies: HQ ONLY<br><br>B. Recurring reports and . . . Information Act, EXCLUDING annual reports to the Congress.<br><br>C. All other copies/reports. | <p>* PERMANENT *</p> <p>RETIRE TO FRC WHEN 3 YEARS OLD. TRANSFER TO NARA WHEN 15 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 14-14]</p> <p>DESTROY WHEN 2 YEARS OLD OR SOONER IF NO LONGER NEEDED FOR ADMINISTRATIVE USE.<br/>&lt;DA: N1-255-94-1&gt;</p>   |
| 1382         | <b>51</b>   | <b>FOIA ADMINISTRATIVE FILES</b>   |  |

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|--------------|-------------|---|--|
|              |             | Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.   | DESTROY WHEN 2 YEARS OLD.<br>[GRS 14-15]   |
| 1382         | <b>52</b>   | <b>FOIA APPEALS FILES</b><br><br>Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.<br><br>A. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein).<br><br>B. Official file copy of records under appeal.  | DESTROY 6 YEARS AFTER FINAL DETERMINATION BY AGENCY OR 6 YEARS AFTER THE TIME AT WHICH A REQUESTER COULD FILE SUIT OR 3 YEARS AFTER FINAL ADJUDICATION BY THE COURTS, WHICHEVER IS LATER.<br>[GRS 14-12(a)]<br><br>DISPOSE OF IN ACCORDANCE WITH SCHEDULE ITEM OR WITH THE RELATED FOIA REQUEST, WHICHEVER IS LATER.<br>[GRS 14-12(b)] |
| 1382         | <b>53</b>   | <b>FOIA CONTROL FILES</b><br><br>Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requestor.<br><br>A. Registers or listings.<br><br>B. All other files/copies.  | DESTROY 6 YEARS AFTER DATE OF LAST ENTRY.<br>[GRS 14-13a]<br><br>DESTROY 6 YEARS AFTER FINAL ACTION BY THE AGENCY OR AFTER FINAL ADJUDICATION BY THE COURTS WHICHEVER IS LATER.<br>[GRS 14-13b]  |
| 1382         | <b>54</b>   | <b>NEW RELEASES</b><br><br>One copy of each prepared statement or announcement issued for distribution to the news media. Published or processed documents, such as "Press Kits," "Fact Sheets," "Current News," and all other materials used mainly for news media.<br><br>News releases that announce events such as adoption of new programs, terminations of old programs, major shifts in policy, and changes in senior agency personnel and may be a textual record such as a formal press release or non-textual, such as films, video, or sound recordings (typically cleared through HQ).<br><br>A. Office of Primary Responsibility<br>HQ: Office of Public Affairs<br>(Will maintain ONE record copy of each document) | * PERMANENT *<br>RETIRE TEXTUAL RECORDS TO FRC WHEN 5 YEARS OLD.<br>TRANSFER TO NARA IN 5 YEAR   |

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|--------------|-------------|--|--|
|              |             | <p>B. STENNIS SPACE CENTER ONLY<br/>The following items as originally produced and distributed by SSC both on-site and locally by the Office of Public Affairs:<br/>News Releases - Fact Sheets - Brochures</p> <p>C. All other installations, offices, or copies.</p>   | <p>BLOCKS WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 19-1)</p> <p>AUDIO VISUAL RECORDS ARE TO BE TRANSFERRED TO NARA IN ACCORDANCE WITH MEDIUM OF CREATION. RETIRE IN 5 YEAR BLOCKS WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 19-1)</p> <p>* PERMANENT *<br/>TRANSFER ANNUALLY TO NARA, SOUTHEAST REGION, 1557 ST. JOSEPH AVE., EAST POINT, GA 30344, WITH ANY ASSOCIATED LOGS OR INDEXES.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE.<br/>&lt;DA: N1-255-94-1&gt;</p> |
| 1382         | 55          | <p><b>INFORMATION REQUEST FILES</b></p> <p>Requests for information and copies of replies thereto, involving no administrative actions, no policy decision, and no special compilations or research and requests for transmittals of publications, photographs, and other informational literature.</p>  | <p>DESTROY WHEN 3 MONTHS OLD.<br/>[GRS 14-1] (N 19-21)</p>   |
| 1382         | 56          | <p><b>INFORMATION SERVICE REPORTS</b></p> <p>Routine requests for exhibits, speakers, tours, and personal appearances by NASA officials and astronauts.</p>  | <p>DESTROY WHEN 5 YEARS OLD, OR WHEN NO LONGER NEEDED FOR REFERENCE WHICHEVER IS FIRST. &lt;DA: N1-255-94-1&gt;</p>  |
| 1382         | 57          | <p><b>NASA RADIO PRESENTATIONS</b></p> <p>Office of Primary Responsibility: HQ (Office of Public Affairs / Code PMD)</p> <p>A. <u>1992 AND EARLIER</u></p> <p>One copy of each radio program as created by NASA and provided to the general public and radio stations. Formats can consist of, but are not limited to: NASA Radio Special Reports; Audio News Features; and Space Notes. (Mediums of transfer consist of: Reel-to-reel; cassettes; transcripts; etc.)</p> <p>B. <u>1993 AND CONTINUING</u></p> <p>1. NASA Space Stories.</p> <p>These are stories of interest about NASA programs/projects. Stories are created as weekly radio shows and are distributed every 4 weeks. Masters consist of 4 stories approximately 4 1/2 minutes in length and 4 items entitled "Frontiers" each is a 90 second version of the Space Story. English" and "Spanish" versions of each program, including a written translation, if one exists.</p> <p>NOTE: Spanish versions of the NASA Radio programs consist of the NASA Space Stories produced approximately every 1-2 weeks every four weeks with one 4 1/2 minute and one 90 second story which duplicate/copy an English</p> | <p>* PERMANENT *<br/>RETIRE TO FRC 1 YEAR AFTER RELEASE OR DELIVERY. TRANSFER TO NARA WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 19-3)</p> <p>* PERMANENT *<br/>TRANSFER 1 PRODUCTION MASTER (1/4" OPEN REEL-TO-REEL TAPE) AND 1 DUBBED CASSETTE COPY TO NARA ANNUALLY, ALONG WITH 1 HARD COPY OF THE LABEL INFORMATION FOR EACH CASSETTE.<br/>&lt;DA: N1-255-94-1&gt; (N 19-3)</p>  |

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|--------------|-------------|--|--|
|              |             | <p>story.</p> <p>2. NASA Special Reports.</p> <p>3. NASA Space Notes.</p> <p>Radio programs created by NASA and provided to the general public and radio stations.</p> <p>C. <u>NASA OFFICIAL INTERVIEWS</u></p> <p>1. Raw and Routine interviews.</p> <p>These are interviews done for research and background information for production of NASA Space Stories and and Frontiers. (These interviews have been produced on DAT Tapes, cassettes, and 1/4" reel-to-reel tapes.)</p> <p>2. Special Interest Interviews.</p> <p>These are unique interviews with NASA officials concerning current items, issues, or research programs/projects of interest or of special significance to NASA.</p> <p>D. <u>SOUND EFFECTS</u></p> <p>These consist of noises used in the production of NASA's radio programs, i.e., telemetry sounds; rocket blast-offs; shuttle launches; etc.</p> | <p>* PERMANENT *</p> <p>SEE ABOVE DISPOSITION B.1.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *</p> <p>SEE ABOVE DISPOSITION B.1.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 2 YEARS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *</p> <p>TRANSFER 1 PRODUCTION MASTER AND 1 DUBBED CASSETTE COPY TO NARA ANNUALLY ALONG WITH 1 HARD COPY OF ANY LABEL OR BACKGROUND INFORMATION CREATED.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER IN ACTIVE AGENCY USE.<br/>[GRS 21-24]</p> |
| 1382         | <b>58</b>   | <b>PAO CLIPPING FILES (SSC ONLY)</b>   | DESTROY WHEN NO LONGER NEEDED FOR REFERENCE VALUE OR TRANSFER TO SSC HISTORIAN'S OFFICE. IF TRANSFERRED TO THE HISTORIAN, THAT OFFICE WILL DESTROY WHEN NO LONGER NEEDED. RECORDS CANNOT BE RETIRED TO AN FRC.<br><DA: N1-255-94-1>  |
|              |             |  |  |
|              |             |  |  |
| <b>1383</b>  |             | <b>Audio Visual News Material</b>  | (see below)  |
| 1383         | <b>59</b>   | <b>POSTERS - EDUCATIONAL</b>   | <p>Wall Sheets, posters, educational materials, relating to the programs and mission of the Agency done at NASA's request. (This series does not include contractor generated and produced material over which NASA has no control; or incidental posters such as blood drives, Combined Federal Campaign, Thrift Savings Program, etc.)</p> <p>* PERMANENT *</p> <p>TRANSFER 2 COPIES ANNUALLY DIRECTLY TO NARA.<br/>&lt;DA: N1-255-94-1&gt;</p>  |
|              |             |  |  |
| 1383         | <b>60</b>   | <b>POCKET STATISTICS</b>   | <p>Contains in summary format agency data on activities, events, personnel, financial</p> <p>* PERMANENT *</p> <p>TRANSFER 2 COPIES</p>  |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

## SCHEDULE 1 (AFS 1000-1999)

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|--------------|-------------|---|---|
|              |             | data, employment statistics, and other data used in the operation and functioning of the agency.  | ANNUALLY<br>OR IN-YEAR-OF CREATION IF<br>NOT PUBLISHED ON AN<br>ANNUAL BASIS, DIRECTLY TO<br>NARA.<br><DA: N1-255-94-1>   |
| <b>1384</b>  |             | <b>Public Appearances</b>   | (see below)   |
| 1384         | <b>61</b>   | <b>EVENTS CALENDAR FILES</b><br><br>A. Calendars showing when and where special events concerning NASA take place, such as speeches, exhibits, tours, conferences, and other major events.<br><br>B. All other offices/copies.  | SEE PAGE NOTE BELOW<br><br>HANDLE AS PERMANENT<br>PENDING RETENTION<br>APPROVAL (N 19-4)<br><br>HANDLE AS PERMANENT<br>PENDING RETENTION<br>APPROVAL (N 19-4)   |
| <b>1385</b>  |             | <b>Speeches and Speakers</b>  | (see below)   |
| 1385         | <b>62</b>   | <b>SPEECH FILES</b><br><br>Official speeches by NASA personnel. Speeches, addresses, comments, and remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies. The speeches and addresses may be presented to executives from other Federal agencies, representatives of state and local governments, or private groups.<br><br>A. Office of Primary Responsibility.<br><br>B. All other offices/copies. | * PERMANENT *<br>RETIRE TO FRC 1 YEAR AFTER<br>RELEASE. TRANSFER TO NARA<br>IN 5 YEAR BLOCKS WHEN 20<br>YEARS OLD.<br><DA: N1-255-94-1> (N 19-2)<br><br>DESTROY WHEN NO LONGER<br>NEEDED FOR REFERENCE.<br><DA: N1-255-94-1>                      |
| 1385         | <b>63</b>   | <b>SCRIPT FILES</b><br><br>Official film, radio, and television scripts.<br><br>A. Office of primary responsibility.<br><br>B. All other offices/copies.  | * PERMANENT *<br>RETIRE TO FRC 1 YEAR AFTER<br>RELEASE OR DELIVERY.<br>TRANSFER TO NARA IN 5 YEAR<br>BLOCKS WHEN 10 YEARS OLD.<br><DA: N1-255-94-1> (N 19-3)<br><br>DESTROY WHEN NO LONGER<br>NEEDED FOR REFERENCE.<br><DA: N1-255-94-1> (N 19-3) |
| <b>1387</b>  |             | <b>Exhibits</b>   | (see below)   |
| 1387         | <b>64</b>   | <b>PUBLICATIONS</b><br><br>A. One copy of each official NASA publication.   | * PERMANENT *<br>TRANSFER 1 COPY ANNUALLY   |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|--|---|
|              |             | B. Pre-publication material.<br>(General publication files, i.e. STI, R&D, publications held at CASI - See Schedule 2, UFI 2220)   | OF ALL PUBLICATIONS<br>CREATED TO NARA.<br><DA: N1-255-94-1> (N 19-10)<br><br>RETIRE TO FRC WHEN 1 YEAR<br>OLD. DESTROY WHEN 5 YEARS<br>OLD.<br><DA: N1-255-94-1> (N 19-10)   |
| 1387         | <b>65</b>   | <b>EXHIBITS</b><br><br>A. <u>SMALL ROUTINE EXHIBITS</u><br>Files consist of case records and related documentation/materials, pictures of set-up/design, and specification sheets.<br><br>B. <u>LARGE MAJOR EXHIBITS</u><br>Files include visitor centers and major off-site exhibits including pictures of set-up/design, specifications sheets and related papers.<br><br>C. <u>SPECIAL EXHIBITS</u><br>Files consist of case files on special project/exhibits, unique programs, including photographs of the project/exhibit. Examples of such exhibits are, but not limited to:<br>World Fairs<br>Air Show(s)<br>Exhibits for the Blind | DESTROY WHEN NO LONGER<br>NEEDED.<br><DA: N1-255-94-1><br><br>* PERMANENT *<br>RETAIN EXHIBIT MATERIAL/<br>DOCUMENTATION ON-SITE<br>FOR 2 YEARS AFTER EXHIBIT<br>IS CLOSED OR REMOVED,<br>THEN TRANSFER TO NARA.<br><DA: N1-255-94-1><br><br>* PERMANENT *<br>TRANSFER TO NARA 5 YEARS<br>AFTER COMPLETION OF<br>PROJECT/ EXHIBIT OR WHEN 20<br>YEARS OLD, WHICHEVER IS<br>SOONER.<br><DA: N1-255-94-1> |
| 1387         | <b>66</b>   | <b>FILM FILES (JSC ONLY)</b><br><br>Records created with regard to films, comprised of contractor cost records and contain contractor-proprietary information.   | RECORDS ARE RETAINED AT<br>JOHNSON SPACE CENTER FOR<br>5 YEARS AFTER TERMINATION<br>OF CONTRACT; THEN<br>DESTROY.<br><DA: N1-255-94-1>  |
| <b>1389</b>  |             | <b>Conferences</b>   | Contact Center Records Mgr.   |
| <b>1390</b>  |             | <b>Education Programs General</b>  | Contact Center Records Mgr.   |
| <b>1392</b>  |             | <b>Educational Programs</b>  | (see below)   |
| 1392         | <b>67</b>   | <b>PRE-PUBLICATION MATERIAL - EDUCATIONAL</b><br><br>Files consist basically of separations, photographs, camera-ready art work used primarily to produce final educational publications.  | RETIRE TO FRC WHEN 2 YEARS<br>OLD. DESTROY WHEN 10<br>YEARS OLD, EARLIER<br>DESTRUCTION IS AUTHORIZED<br>IF MATERIAL IS NO LONGER<br>NEEDED OR USEFUL.<br><DA: N1-255-94-1>   |
| 1392         | <b>68</b>   | <b>EDUCATIONAL PROGRAMS</b><br><br>Files of the Spacemobile Operations, schedules, attendance, contract files. Files also know as "AESP" Aerospace Education Services Program, are included in this series. In addition, records of school attendance/ visits are filed in this category. Other records that are considered similar and are included in this series are:<br><br>- Governor School Program:   | RETIRE TO FRC WHEN 2 YEARS<br>OLD, DESTROY WHEN 10<br>YEARS OLD.<br><DA: N1-255-94-1><br>(N 19-7)   |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|--|---|
|              |             | <p>Program designed for gifted students; run by the State Department.</p> <ul style="list-style-type: none"> <li>- Explorer Scouts Program:<br/>Program for high school students during the regular school year.</li> <li>- NEWEST Program:<br/>Workshop for teachers; taught 2-weeks every year.</li> </ul> <p>NOTE: These records may also be a part of the SHARP system of records (NASA 10 SPER--PASR).</p>  |   |
| 1392         | <b>69</b>   | <b>EDUCATIONAL PUBLICATIONS</b><br><br>A quarterly publication containing information for teachers on NASA's recent, past, and future educational activities/programs, such as: "Report to Educators" and "Educational Horizons;" etc.   | * PERMANENT *<br>TRANSFER TO NARA IN 5 YEAR BLOCKS WHEN 10 YEARS OLD.<br><DA: N1-255-94-1>  |
| 1392         | <b>70</b>   | <b>TEACHER WORKSHOP FILES</b><br><br>Files of teacher workshops showing number of seminars, location, attendance, and brief outlines of programs. Included in these records are requests for services and teacher resource files.  | RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 10 YEARS OLD.<br><DA: N1-255-94-1>   |
| <b>1394</b>  |             | <b>Educational Services</b>  | (see below)   |
| 1394         | <b>71</b>   | <p><b>MOTION PICTURE FILMS</b></p> <p>NOTE: The following dispositions are for FILM ONLY. VIDEO productions are in SCHEDULE 2 and SCHEDULE 8 of this handbook.</p> <p><b><u>FILM FOOTAGE THAT MAY BE DISPOSED OF:</u></b></p> <ul style="list-style-type: none"> <li>- Extra copies (master positives; duplicate negatives or prints) of original materials which have been forwarded to NARA or the appropriate FRC.</li> <li>- Original film footage which is unusable because of inferior quality.</li> <li>- Copies of motion pictures which were made by other agencies and which are no longer useful or do not pertain to NASA activities.</li> </ul> <p>A. <u>GENERAL:</u></p> <ol style="list-style-type: none"> <li>1. Films acquired from outside sources for personnel and management training.</li> <li>2. Films acquired from outside sources for personnel entertainment and recreation.</li> <li>3. Routine surveillance footage.</li> <li>4. Routine scientific, medical, or engineering footage.</li> <li>5. Duplicate prints and pre-print elements not required for preservation.</li> </ol> | <p>DESTROY 1 YEAR AFTER COMPLETION OF TRAINING PROGRAM.<br/>[GRS 21-9]</p> <p>DESTROY WHEN NO LONGER NEEDED.<br/>[GRS 21-10 (88)]</p> <p>DESTROY WHEN 6 MONTHS OLD.<br/>[GRS 21-11]</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 21-12]</p> <p>DESTROY WHEN NO LONGER NEEDED.<br/>[GRS 21-13 (88)]</p> |
|              |             | B. <u>R&amp;D PROJECTS:</u>  |   |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|--|--|
|              |             | <p>Film produced by installations or contractors for research and development projects/programs which require photographic (film) support.</p> <ol style="list-style-type: none"> <li>Complete film reports.<br/>(Finished Productions Only)</li> <li>Engineering film - which has documentary (historical) value as well as technical value.</li> <li>Other engineering film footage necessary for development and performance testing which has been documented in project reports.</li> </ol> <p>C. <u>SOUND TRACKS</u></p> <ol style="list-style-type: none"> <li>Sound tracks created with agency sponsored films or R&amp;D projects. (See Also B. and D. of this item.)</li> <li>Sound tracks which are pre-mix sound elements created during the course of a motion picture, television, or radio production.</li> <li>Library sound recordings (e.g., effects, music).</li> </ol> | <p>* PERMANENT *</p> <p>RETAIN ON-SITE FOR 5 YEARS. TRANSFER TO NARA (COLLEGE PARK, MD) WHEN 5 YEARS OLD. MATERIALS TO BE INCLUDED: ORIGINAL NEGATIVE OR COLOR ORIGINAL PLUS SOUND AND ONE PROJECTION PRINT. COORDINATE THIS TRANSFER WITH NASA HQ BEFORE SHIPMENT.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>SEE AND APPLY ABOVE DISPOSITION.</p> <p>TRANSFER TO FRC 1 YEAR AFTER PROJECT COMPLETION, CANCELLATION, OR TERMINATION. DESTROY WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *</p> <p>TRANSFER WITH ORIGINAL FILM ALONG WITH IDENTIFYING INFORMATION IF POSSIBLE.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY IMMEDIATELY AFTER USE.<br/>[GRS 21-24]</p> <p>DESTROY WHEN NO LONGER NEEDED.<br/>[GRS 21-25 (88)]</p> |
|              |             | <p>D. <u>AGENCY SPONSORED FILMS - OTHER:</u></p> <ol style="list-style-type: none"> <li>Films used for the visual presentation of information to the public. <ol style="list-style-type: none"> <li>Office of Primary Responsibility: <p>Examples of such films are, but not limited to:</p> <p>Television new releases and information reports, i.e.,<br/> "NASA Highlights" - Press conf. mission reports<br/> "Resource Tape" - Rough cut edit with sound track<br/> "Post Launch Briefing Clip"</p> </li> </ol> </li> </ol>  | <p>* PERMANENT *</p> <p>RETAIN FILM ON-SITE FOR 5 YEARS. TRANSFER TO NARA (COLLEGE PARK, MD) WHEN 5 YEARS OLD. MATERIAL TO BE INCLUDED: ORIGINAL NEGATIVE OR COLOR ORIGINAL PLUS SOUND TRACK; AND INTERMEDIATE MASTER POSITIVE OR DUPLICATE NEGATIVE PLUS SOUND TRACK; AND SOUND PROJECTION PRINT, ALONG WITH COMPLETE IDENTIFYING INFORMATION. COORDINATE WITH NASA HQ BEFORE</p>   |

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|--------------|-------------|--|--|
|              |             | <p>(b) All other offices/copies.</p> <p>(c) Original film used to create the "Highlights" and "Resource Tape".</p> <p>2. Films (internal) such as training films that explain agency functions or activities intended for internal or external distribution.</p> <p>3. Films of sponsored television news releases, public service (or "spot") announcements and information reports other than those identified in B., D.1. and D.2. above.</p> <p>4. Library copies of films.</p>  | <p>SHIPMENT.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE PURPOSES.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>TRANSFER TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 15 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>RETAIN ON-SITE FOR 5 YEARS. TRANSFER TO NARA (COLLEGE PARK, MD) WHEN 5 YEARS OLD. MATERIALS INCLUDED: ORIGINAL NEGATIVE OR COLOR ORIGINAL PLUS SOUND TRACK, AND ONE PROJECTION PRINT. COORDINATE WITH NASA HQ BEFORE SHIPMENT.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>RETAIN ON-SITE FOR 5 YEARS. TRANSFER TO NARA (COLLEGE PARK, MD) WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN FILM BECOMES INACTIVE OR DAMAGED.<br/>&lt;DA: N1-255-94-1&gt;</p> |
| <b>1395</b>  |             | <b>Foreign Government Awards</b>   | Contact Center Records Mgr.  |
| <b>1400</b>  |             | <b>Administrative Management Programs</b>  | Contact Center Records Mgr.  |
| <b>1410</b>  |             | <b>Directives Management</b>   | (see below)  |
| 1410         | <b>72</b>   | <p><b>FORMAL DIRECTIVES, NASA MANAGEMENT INSTRUCTIONS (NMI), PROCEDURAL, AND OPERATING MANUALS</b></p> <p>Formal directives distributed as orders, circulars, or in loose-leaf manual form announcing major changes in the agency's policies and procedures. Normally these are issued by authority of the head of the agency. Extensive procedures are frequently detailed in operating manuals.</p> <p>A. <u>HEADQUARTERS - AGENCY LEVEL</u><br/>OPR: Management Operations Division, NASA Headquarters</p> <p>Issuances related to agency program functions. Management issuance office responsible for maintaining all records and background material pertaining to each published instruction, handbook, policy directive, etc. Included in this series are the case files related to the issuance which document aspects of the development of the issuance, including significant backup, comments; original signature pages; etc.</p> <p>B. <u>INSTALLATIONS</u></p> <p>1. FORMAL ISSUANCES - SEE ABOVE DESCRIPTION</p> | <p>* PERMANENT *<br/>RETIRE TO FRC 1 YEAR AFTER BECOMING OBSOLETE OR SUPER- SEDED. TRANSFER TO NARA IN 5 YEAR BLOCKS WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;<br/>(N 1-2)</p> <p>* PERMANENT *</p>   |

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|--------------|-------------|--|---|
|              |             | <p>2. ROUTINE ISSUANCES</p> <p>Issuances related to routine administration functions (i.e., payroll, procurement, personnel, etc.)</p> <p>Case files related to the above documents.</p> <p>C. Offices promulgating policies, procedures, instructions, etc. to be published.</p> <p>D. Copies of this material retained in promulgating office.</p> <p>E. All other offices/copies, including electronic versions.</p>  | <p>RETIRE TO FRC 5 YEARS AFTER CANCELLATION OR WHEN SUPERSEDED. TRANSFER TO NARA REGIONAL ARCHIVE IN 5 YEAR BLOCKS WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN SUPERSEDED OR OBSOLETE.<br/>[GRS 16-1a]</p> <p>DESTROY WHEN ISSUANCE IS DESTROYED.<br/>[GRS 16-1b]</p> <p>TRANSFER BACKGROUND AND RELATED MATERIAL TO AGENCY LEVEL ISSUANCE OFFICE (ITEM A.)<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY COPIES OF RECORD MATERIAL WHEN NO LONGER NEEDED.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN SUPERSEDED, OBSOLETE, OR NO LONGER NEEDED.<br/>&lt;DA: N1-255-94-1&gt;</p> |
| <b>1412</b>  |             | <b>Office of the Federal Register</b>  | Contact Center Records Mgr.   |
| <b>1415</b>  |             | <b>Reports Management</b>  | (see below)   |
| 1415         | <b>73</b>   | <b>REPORTS CONTROL FILES</b>   |   |
|              |             | Case files and documents used to control and maintain assignment of reports control symbols, including reports on studies, decisions, registers, ledgers correspondence, etc. Files are maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.   | DESTROY 2 YEARS AFTER THE REPORT IS DISCONTINUED.<br>[GRS 16-6]<br>(N 1-30)   |
| <b>1420</b>  |             | <b>Forms Management</b>  | (see below)   |
| 1420         | <b>74</b>   | <b>FORMS MANAGEMENT FILES</b>  |   |
|              |             | <p>A. The master file copy of each form designed at each installation, including the NASA series maintained at NASA Headquarters, showing inception, scope, and purpose of the form, including facsimile copies and revisions thereof. Included in this series are any documents used to record and control the assignment of form numbers, consisting of sequential entries; including a copy of published listings or indexes.</p> <p>B. Functional files, background materials, specifications, requisitions, processing data, control records, and materials used to determine if a new form should be developed or whether existing forms should be replaced or consolidated.</p> | <p>DESTROY 5 YEARS AFTER RELATED FORM IS DISCONTINUED, SUPERSEDED, OR CANCELLED.<br/>[GRS 16-3a]<br/>(N 1-27)</p> <p>DESTROY WHEN RELATED FORM IS DISCONTINUED, SUPERSEDED, OR CANCELLED.<br/>[GRS 16-3b]</p>   |

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|--------------|-------------|--|--|
| 1430         |             | <b>Visual Aids Management</b>  | Contact Center Records Mgr.  |
| 1440         |             | <b>Records Management</b>  | (see below)  |
| 1440         | 75          | <p><b>RECORDS MANAGEMENT FILES</b></p> <p>NOTE: These records cannot be retired to an FRC.</p> <p>A. <u>RECORDS DISPOSITIONS</u><br/>Descriptive inventories, disposal authorizations, schedules and reports.</p> <p>1. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Request to Transfer, Approval, and Receipt of Records to the National Archives of the United States; and, related documentation.</p> <p>(a) Agency Records Officer.</p> <p>(b) Installation Records Managers (OPR).</p> <p>(c) All other offices/copies.</p> <p>2. Routine correspondence, memoranda, and extra copies of documentation concerning records dispositions and associated activities.</p> <p>B. <u>RECORDS HOLDINGS FILES</u><br/>Statistical reports of agency holdings, cleanup campaigns, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer to NARA.</p> <p>1. Records held by offices which prepare reports on agency-wide records holdings.</p> <p>2. Records held by other offices.</p> | <p>RETAIN ON-SITE INDEFINITELY UNTIL NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES. DESTROY AFTER NEXT COMPLETE REVISION OF SCHEDULES HAS BEEN PUBLISHED OR WHEN 50 YEARS OLD, WHICHEVER IS LONGER.<br/>&lt;DA: N1-255-94-1&gt;<br/>(N 1-25)</p> <p>RETAIN ON-SITE AND DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 75 YEARS OLD, WHICHEVER IS LONGER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY 6 YEARS AFTER THE RELATED RECORDS ARE DESTROYED OR TRANSFERRED TO NARA, WHICHEVER IS APPLICABLE.<br/>[GRS 16-2a (2)]</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 16-2b]</p> <p>DESTROY WHEN 3 YEARS OLD.<br/>[GRS 16-4a]</p> <p>DESTROY WHEN 1 YEAR OLD.<br/>[GRS 16-4b]</p> |
|              |             | C. Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and file management; the use of microforms, ADP systems, and work processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.   | DESTROY WHEN 6 YEARS OLD.<br>[GRS 16-7]  |

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|---|---|
|              |             | <p>D. Local instructions on records management, including surveys, inventories, studies, feeder reports, and general correspondence.</p> <p>E. Office record locator files, indexes, or listings which are used to locate records in current files, or files that have been transferred to staging areas or retired to FRC; including file plans and office copies of shipping lists.</p> <p>F. NASA Form 1418, Proposed Change to NASA Records Control Schedules.</p> <p>1. Agency Records Officer.</p> <p>(a) Approved NF 1418.</p> <p>(b) Disapproved NF 1418.</p> <p>2. Installation Records Managers.</p> <p>3. All other offices/copies.</p>  | <p>DESTROY WHEN 6 YEARS OLD.<br/>[GRS 16-7]</p> <p>DESTROY FILE PLANS/INDEXES WHEN SUPERSEDED. DESTROY LISTS (SHIPPING/TRANSFER) WHEN RECORDS THEREON HAVE BEEN DESTROYED, OR WHEN THE LIST IS NO LONGER NEEDED FOR REFERENCE.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>FILE WITH SF 115 OR SF 258 CASE FILE AS APPROPRIATE. DESTROY AS DIRECTED IN ITEM A.1. ABOVE.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>RETURN ORIGINAL TO INSTALLATION OR OPR. DESTROY COPY ONE YEAR LATER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY 1 YEAR AFTER PUBLICATION OF DISPOSITION STANDARD OR 1 YEAR AFTER DISAPPROVAL, WHICHEVER IS FIRST.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE.<br/>&lt;DA: N1-255-94-1&gt;</p> |
| 1440         | 76          | <p><b>MICROFORM INSPECTION RECORDS</b></p> <p>A. Logs documenting the inspection of <u>permanent</u> microform records, as required by 36 CFR 1230, including description of the records tested, record category date, elements of inspection, results, and if defects are found, corrective action taken.</p> <p>NOTE: (1) These items do not cover the copy of logs and reports that are attached to the SF 135 when records are transferred to a Federal records center or the SF 258 when records are transferred to the National Archives of the United States. (2) Inspection records for unscheduled records that are converted to microform are also unscheduled and may not be destroyed.</p> <p>B. Logs and other records documenting the inspection of <u>temporary</u> microform records, as recommended by 36 CFR 1230.</p> <p>C. Reports made to the National Archives and Records Administration on the results of microform inspection, as required by 36 CFR 1230, and related correspondence.</p> | <p>DESTROY 1 YEAR AFTER THE RECORDS ARE TRANSFERRED TO NARA.<br/>[GRS 16-10 (a)]</p> <p>DESTROY WHEN 2 YEARS OLD OR WHEN SUPERSEDED, WHICHEVER IS LATER.<br/>[GRS 16-10 (b)]</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 16-10(b)]</p>  |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

## SCHEDULE 1 (AFS 1000-1999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|--|--|
| 1441         |             | <b>Records Disposition</b>   | Contact Center Records Mgr.  |
| 1442         |             | <b>Files Maintenance</b>   | (see below)  |
| 1442         | 77          | <b>FINDING AIDS</b><br><br>A. Indexes, lists, registers, and other finding aids in hard copy or electronic form used only to provide access to records authorized for destruction by the GRS or an approved item in this schedule.<br>NOTE: EXCLUDED from this series are records containing abstracts or other information that can be used as an information source APART from the related records. An SF-115 MUST BE SUBMITTED by the Agency Records Officer PRIOR TO DISPOSAL of these records--Contact the local Installation Records Manager for guidance on this process.<br><br>B. Finding aids for series of records that HAVE BEEN accessioned by the National Archives and Records Administration and those relating to major program case files not previously authorized for disposal.<br><br>C. All other finding aids/copies. | DESTROY OR DELETE WITH THE RELATED RECORDS.<br>[GRS 23-9]<br><br>* PERMANENT *<br>TRANSFER TO NARA WITH RELATED RECORDS.<br><DA: N1-255-94-1><br><br>FOLLOW DISPOSITION INSTRUCTIONS FOR THE RECORDS TO WHICH THEY RELATE, OR DESTROY WHEN NO LONGER NEEDED FOR REFERENCE.<br><DA: N1-255-94-1>  |
| 1442         | 78          | <b>GENERAL OFFICE FILES</b><br><br>A. <u>CHRON FILES - READING FILES</u><br><br>Files that are extra copies, convenience copies, reference copies, that are filed and maintained in chronological order. These are duplicates and ARE NOT the official record copy (yellow).<br><br>1. <u>AMES RESEARCH CENTER ONLY</u><br><br>B. <u>SUSPENSE FILES</u><br>Papers/records arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.<br><br>1. A note or other reminder to take some action.<br><br>2. The file copy or an extra copy of an outgoing communication, filed by date on which a reply is expected.  | TRANSFER TO HISTORIAN'S OFFICE WHEN 1 YEAR OLD OR WHEN NO LONGER NEEDED FOR REFERENCE. HISTORIAN WILL DESTROY WHEN NO LONGER NEEDED.<br><DA: N1-255-94-1><br>(N 1-9f)<br><br>TRANSFER TO INSTALLATION RECORDS MANAGER WHEN 1 YEAR OLD. THIS OFFICE WILL DESTROY WHEN 3 YEARS OLD.<br><DA: N1-255-94-1><br><br>DESTROY AFTER ACTION TAKEN.<br>[GRS 23-6a] (N 1-9g)<br><br>WITHDRAW DOCUMENTS WHEN REPLY IS RECEIVED.<br>NOTE: IF SUSPENSE COPY IS AN EXTRA, DESTROY IMMEDIATELY; IF COPY IS THE FILE COPY, INCORPORATE IT INTO THE OFFICIAL FILES.<br>[GRS 23-6b] |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|--|---|
|              |             | <p>C. <u>TRACKING AND CONTROL RECORDS</u><br/>Logs, registers, and other records in hard copy or electronic form used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or this schedule.</p>  | <p>DESTROY OR DELETE WHEN 2 YEARS OLD, OR 2 YEARS AFTER THE DATE OF THE LATEST ENTRY, WHICHEVER IS APPLICABLE.<br/>[GRS 23-8]</p>   |
|              |             | <p>D. <u>INFORMATION COPIES</u><br/>Copies of correspondence, reports, or other documents that are for reference use and are not made a part of an official subject or case file.</p> <p>E. <u>SCHEDULES OF DAILY ACTIVITIES</u><br/>Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, created and maintained in hard copy or electronic form, EXCLUDING materials determined to be personal.</p> <p>1. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high government officials. (See Item 22, "Records of Top Management Officials" of this Schedule.)</p> <p>2. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.</p> <p>F. <u>OFFICE ADMINISTRATIVE DATA BASES</u><br/>Data bases that support administrative or housekeeping functions, information derived from hard copy records authorized for destruction by the GRS or these schedules, if the hard copy records are maintained in organized files, and hard-copy printouts from these data bases created for short-term administrative purposes.</p> <p>G. <u>TRANSITORY FILES</u><br/>Documents of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below.</p> <p>1. Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.</p> <p>2. Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.</p> <p>3. Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.</p> <p>H. <u>WORD PROCESSING and ELECTRONIC MAIL FILES - GENERAL GUIDANCE</u><br/>(Also see specific record series for dispositions)</p> <p>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and work processing systems that</p> | <p>DESTROY WHEN 1 YEAR OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;<br/>(N 1-9h)</p> <p>DESTROY OR DELETE WHEN 2 YEARS OLD.<br/>[GRS 23-5a]</p> <p>DESTROY OR DELETE WHEN NO LONGER NEEDED.<br/>[GRS 23-5b]</p> <p>DELETE INFORMATION IN THE DATA BASE WHEN 2 YEARS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER.<br/>[GRS 23-1]</p> <p>DESTROY WHEN 3 MONTHS OLD.<br/>[GRS 23-7]</p> |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|---|---|
|              |             | are maintained for updating, revision, or dissemination. Documents such as letters, messages, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes:<br><br>1. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.<br><br>2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.   | DESTROY/DELETE WITHIN 180 DAYS AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED.<br>[GRS 23-10(a)]<br><br>DESTROY/DELETE WHEN DISSEMINATION, REVISION, OR UPDATING IS COMPLETED.<br>[GRS 23-10 (B)] |
|              |             | 3. When maintained only in electronic form, and duplicate the information in and take the place of records that would otherwise be maintained in hard copy provided that the hard copy has been authorized for destruction by the GRS or these schedules.<br><br>I. <u>ADMINISTRATIVE OFFICE FILES</u><br>Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office. | DELETE AFTER THE EXPIRATION OF THE RETENTION PERIOD AUTHORIZED FOR THE HARD COPY.<br><br>DESTROY WHEN 2 YEARS OLD.<br>[GRS 23-1]  |
|              |             |   |   |
| 1450         |             | <b>Correspondence Management</b>  | Contact Center Records Mgr.   |
| 1451         |             | <b>Executive Instructions on Correspondence</b>   | Contact Center Records Mgr.   |
| 1460         |             | <b>Mail Management</b>  | Contact Center Records Mgr.   |
| 1470         |             | <b>Management Improvement</b>   | (see below)   |
| 1470         | 79          | <b>MANAGEMENT IMPROVEMENT REPORTS</b><br><br>Management improvement reports submitted to the Office of Management and Budget (i.e., A-76 Reports) and related analyses.<br><br>A. Office of Primary Responsibility.<br><br><br><br><br>B. All other offices/copies.   | (N 1-5)<br><br>RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 20 YEARS OLD.<br><DA: N1-255-94-1><br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-1>  |
|              |             |   |   |
| 1472         |             | <b>Work Measurement &amp; Simplification</b>  | Contact Center Records Mgr.   |
| 1480         |             | <b>Publications Management</b>  | Contact Center Records Mgr.   |
| 1490         |             | <b>Printing Management</b>  | (see below)   |
| 1490         | 80          | <b>OFFICE COPYING EQUIPMENT FILES</b><br><br>A. Procurement requests, NASA Form 51, justifications, approvals or disapprovals, located in offices (not the office procuring the equipment) whether purchase or rental equipment (except equipment in printing, duplicating, or  | DESTROY 2 YEARS AFTER ACQUISITION OF EQUIPMENT OR AFTER DISAPPROVAL.  |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|---|---|
|              |             | reproduction facilities.<br><br>B. Daily production reports/records.<br><br><br>C. Production reports (other than daily), cost records (including repairs, maintenance, supplies, operating labor, depreciation) and studies.   | <DA: N1-255-94-1><br><br>DESTROY 90 DAYS AFTER INCLUSION OF DATA IN MONTHLY (OR OTHER CONSOLIDATED) REPORT.<br><DA: N1-255-94-1><br>(N 16-7)<br><br>DESTROY WHEN 5 YEARS OLD. (IF RECORDS ARE KEPT SEPARATELY FOR EACH MACHINE, DESTROY WHEN MACHINE IS DISPOSED OF OR TRANSFER WITH MACHINE.)<br><DA: N1-255-94-1> |
| 1490         | <b>81</b>   | <b>REQUISITIONS ON THE PUBLIC PRINTER</b><br><br>Records relating to requisitions on the Printer (outside the agency) and all supporting papers.<br><br>A. Printing procurement unit copy of requisitions, invoice, specifications, and related papers, e.g., SF 1, SF 1C, and GPO Forms 2511, GPO 1026A.<br><br>B. Accounting copy of requisition, Government Printing Office Invoice, transfer of funds voucher, and receiving report.<br><br>C. Administrative correspondence pertaining to the administration and operation of the unit responsible for printing, binding, and duplication, and distribution matters, and related papers.   | DESTROY 3 YEARS AFTER COMPLETION OR CANCELLATION OF REQUISITION.<br>[GRS 3-6a] (N 16-1a)<br><br>DESTROY 3 YEARS AFTER PERIOD COVERED BY RELATED ACCOUNT.<br>[GRS 3-6b] (N 16-1b)<br><br>DESTROY WHEN 2 YEARS OLD.<br>[GRS 13-1] (N 17-20)   |
| 1490         | <b>82</b>   | <b>JOB OR PROJECT FILES - PRINTING</b><br><br>Job or project records containing all papers and data pertaining to the planning and execution of duplication, and distribution of jobs (in-house):<br><br>A. Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related papers, exclusive of:<br>- Requisitions on the Public Printer and related records; and,<br>- Records relating to services obtained outside the agency.<br><br>B. Files pertaining to planning and other technical matters concerning these services.<br><br>C. NASA Headquarters Duplicating Center - in-house duplication only, records relating to the operation, execution, reproduction (i.e., Form 51 - HQ Printing and Reproduction Requisition/Request) and distribution. | (N 16-2)<br><br>DESTROY 1 YEAR AFTER COMPLETION OF JOB.<br><DA: N1-255-94-1><br><br>DESTROY WHEN 3 YEARS OLD.<br><DA: N1-255-94-1><br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-1>  |
| 1490         | <b>83</b>   | <b>CONTROL REGISTERS - PRINTING</b><br>Control registers pertaining to requisitions and work orders.  | DESTROY 1 YEAR AFTER CLOSE OF FISCAL YEAR IN WHICH COMPILED OR 1 YEAR AFTER FILLING OF REGISTER, WHICHEVER IS APPLICABLE.<br>[GRS 13-3] (N 16-3)  |

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|--------------|-------------|---|--|
| 1490         | <b>84</b>   | <b>JOINT COMMITTEE ON PRINTING - REPORTS TO / AUTHORIZATIONS</b><br><br>A. Agency reports to the Joint Committee on Printing regarding the operation of Class A and B plants and inventories of printing, binding, and related equipment in Class A and B plants or in storage.<br><br>B. Copies of reports in subordinate reporting units and their related work papers.<br><br>C. Correspondence and authorizations by the JCP and related papers concerning establishment, relocation, and disestablishment of printing plants.<br><br>D. Records/reports concerning the acquisition, transfer, and disposal of equipment.<br><br>E. All other miscellaneous documentation, e.g., inclusion of printing in contracts or grants.  | DESTROY WHEN 3 YEARS OLD.<br>[GRS 13-5a] (N 16-4)<br><br>DESTROY 1 YEAR AFTER DATE OF REPORT.<br>[GRS 13-5b] (N 16-4)<br><br>RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 10 YEARS OLD.<br><DA: N1-255-94-1> (N 16-5)<br><br>DESTROY 2 YEARS AFTER DISPOSAL OF THE EQUIPMENT.<br><DA: N1-255-94-1> (N 16-5)<br><br>DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-1> (N 16-5) |
| <b>1500</b>  |             | <b>Administrative Services</b>  | (see below)  |
| 1500         | <b>85</b>   | <b>LOCATOR RECORD FILES</b><br><br>Locator sheets, cards, tags, such as space control sheets, location sheets, location cards, bin tags, and other papers utilized as a check or inventory of stock location.   | DESTROY WHEN SUPERSEDED OR OBSOLETE.<br><DA: N1-255-94-1> (N 17-25)  |
| <b>1520</b>  |             | <b>Graphics</b>   | (see below)  |
| 1520         | <b>86</b>   | <b>GRAPHIC ARTS - VISUAL MEDIA</b><br><br>Materials prepared for the purpose of assisting NASA officials in presentations, such as Congressional Hearings, program reviews, technical briefings, public lectures, publications, exhibits, and in-house activities.<br><br>A. <u>ORIGINAL ART WORK - NASA ART PROGRAM</u><br>1. Art work (non-record artifact) commissioned by NASA to depict/represent a particular event or concept of space and/or NASA missions.<br><br>2. NASA Portraits - High level NASA officials (i.e., Administrator; Center Directors, Deputy Administrators, Deputy Center Directors) (Office of Record at NASA Headquarters).<br><br>3. STENNIS SPACE CENTER ONLY (Graphics Office)<br>Art work developed and used in hearings, presentations, reviews, conferences, briefings, and presentations of information to the general public such as speeches, news releases, educational briefs, and exhibits. (Official file copies are maintained by another office at Stennis Space Center.)<br><br>B. <u>BOARD ART - COMPUTER GENERATED GRAPHICS</u> | RETAIN INDEFINITELY WITHIN AGENCY CUSTODY AS PART OF THE NASA ART PROGRAM OPERATED BY CODE P AT NASA HQ.<br><DA: N1-255-94-1><br><br>* PERMANENT *<br>TRANSFER ONE 3x5 TRANSPARENCY AND PRINT TO NARA WHEN 10 YEARS OLD.<br><DA: N1-255-94-1><br><br>DESTROY WHEN NO LONGER NEEDED BY THE INSTALLATION OR WHEN REFERENCE VALUE CEASES.<br><DA: N1-255-94-1>                |

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|--------------|-------------|--|---|
|              |             | <p>1. Presentations to the Public<br/>Art work used in Congressional Hearings; budget presentations; summary review conferences; technical briefings; and presentations to the public such as speeches, releases to news media, educational briefs, and exhibits.</p> <p>2. NASA Internal Use<br/>Art work used in fund drives, posters for employee sponsored activities, illustrations used in administrative function activities, and other routine in-house activities, including routine handbills, flyers, posters, letterheads, and other graphics.</p> <p>C. <u>VIEWGRAPHS/TRANSPARENCY</u></p> <p>1. Master photographic negatives - such as those used in the production of visual aids (slides, viewgraphs, and photographs) from original art.<br/>NASA HQ: OPR - CODE JOB-2 ONLY</p> <p>2. Slides and viewgraphs/transparencies used by program, staff, and project offices for presentations.</p> <p>3. All other offices/copies.</p> <p>C. <u>VIEWGRAPHS/TRANSPARENCY</u> - Continued</p> <p>4. STENNIS SPACE CENTER ONLY<br/>Records consist of master photographic negative/transparency files, graphic arts, and line art, including any material maintained in electronic/magnetic format. Collection includes black &amp; white half tones, color photos, negatives and paper line art. This collection may include duplicate files which exist in other offices of the same presentation. (Some work is generated by use of photo-typesetting equipment.)</p> <p>D. <u>LINE ART / NEGATIVES / PLATES</u></p> <p>1. Line and halftone negatives, screened paper prints and offset lithographic plates used for photo-mechanical reproduction.</p> <p>2. Line copies of graphs and charts.</p> <p>E. <u>VISUAL AIDS REQUISITION/REGISTER FILES</u></p> <p>1. Requests and instructions for the preparation of the visual aids described under this item b., whether in hard copy or electronic.</p> <p>2. Registers showing receipt of requisition and control number assigned to it.<br/>NOTE: These records may be included in an automated "Action Tracking System."</p> <p>F. <u>FINDING AIDS FOR VISUAL MEDIA/GRAPHIC ARTS</u><br/>Finding aids for identification, retrieval, or use of temporary audiovisual, visual</p> | <p>RETURN ORIGINAL BOARD ART TO THE REQUESTING OFFICE. DESTROY WHEN NO LONGER NEEDED.<br/>&lt;DA: N1-255-94-1&gt;<br/>(N 91a(1))</p> <p>DESTROY WHEN NO LONGER NEEDED FOR PUBLICATION OR REPRINTING.<br/>[GRS 21-6] (N 9-1a(2))</p> <p>RETIRE ORIGINAL TO FRC WHEN NO LONGER NEEDED TO REPRODUCE ADDITIONAL VISUAL AIDS, WORKING COPIES, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER. DESTROY WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 91b)</p> <p>DESTROY 1 YEAR AFTER USE.<br/>[GRS 21-5] (N 9-1c)</p> <p>DESTROY WHEN NO LONGER NEEDED.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY OR DISPOSE OF RECORDS WHEN NO LONGER NEEDED BY THE AGENCY OR WHEN REFERENCE VALUE CEASES.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED FOR PUBLICATION OR REPRINTING.<br/>[GRS 21-7]</p> <p>DESTROY WHEN NO LONGER NEEDED FOR PUBLICATION OR REPRINTING.<br/>[GRS 21-8]</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 9-2)</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 9-3)</p> |

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|--------------|-------------|---|--|
|              |             | records. May include indexes, catalogs, shelf lists, log books, caption sheets, shot lists, etc., and may be in text, card, microform, or electronic.   | DISPOSE OF ACCORDING TO THE INSTRUCTION COVERING THE RELATED AUDIOVISUAL RECORD.<br>[GRS 21-29]  |
| <b>1521</b>  |             | <b>Visual Aids</b>  | Contact Center Records Mgr.  |
| <b>1530</b>  |             | <b>Postal Records</b>   | (see below)  |
| 1530         | <b>87</b>   | <b>POSTAL RECORDS</b><br><br>A. Post office forms and supporting papers, exclusive of records held by the United States Postal Service.<br><br>1. Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, and special delivery mail including receipts and return receipts.<br><br>2. Application for postal registration and certificates of declared value mail.<br><br>3. Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail.<br><br>B. Post irregularities files, such as correspondence, reports, and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.<br><br>C. Postal statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).<br><br>D. Production and statistical reports and data relating to the handling of mail and volume of work performed.<br><br>E. Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, excluding both those covered by item a. of this schedule and those used as indexes to correspondence files.<br><br>F. Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail.<br><br>G. Metered Mail Files (Annual official penalty mail, metered mail reports and all related papers). | DESTROY WHEN 1 YEAR OLD.<br>[GRS 12-5a] (N 10-17)<br><br>DESTROY WHEN 1 YEAR OLD.<br>[GRS 12-5b]<br><br>DESTROY WHEN 1 YEAR OLD.<br>[GRS 12-5c] (N 10-22)<br><br>DESTROY 3 YEARS AFTER COMPLETION OF INVESTIGATION.<br>[GRS 12-8]<br><br>DESTROY WHEN 6 MONTHS OLD.<br>[GRS 12-6b] (N 10-18)<br><br>DESTROY WHEN 1 YEAR OLD.<br>[GRS 12-6b] (N 10-19)<br><br>DESTROY WHEN 1 YEAR OLD.<br>[GRS 12-6a] (N 10-23)<br><br>DESTROY WHEN 1 YEAR OLD.<br>[GRS 12-6e] (N 10-20)<br><br>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 6 YEARS OLD.<br>[GRS 12-7] (N 10-24) |
| 1530         | <b>88</b>   | <b>MAILING OR DISTRIBUTION LISTS</b><br><br>A. Correspondence, request forms, and other records relating to changes in mailing lists.<br><br>B. Card lists.   | DESTROY AFTER APPROPRIATE REVISION OF LIST OR AFTER 3 MONTHS, WHICHEVER IS SOONER.<br>[GRS 13-4a] (N 16-6)<br><br>DESTROY INDIVIDUAL CARDS WHEN CANCELLED OR REVISED.<br>[GRS 13-4b]   |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

# SCHEDULE 1 (AFS 1000-1999)

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|--------------|-------------|--|--|
|              |             | C. Plate or stencil mailing lists.   | DESTROY PLATES OR STENCILS WHEN CANCELLED OR REVISED.<br><DA: N1-255-94-1>   |
|              |             | D. All other lists kept by offices other than the official mail room/office.   | DESTROY WHEN NO LONGER NEEDED.<br><DA: N1-255-94-1>  |
| <b>1540</b>  |             | <b>Building and Grounds Management</b>   | (see below)  |
| 1540         | <b>89</b>   | <b>AGENCY SPACE FILES</b><br><br>Records relating to the allocation, utilization, and release of space under agency control, and related reports to the General Services Administration.<br><br>A. Building plan files and related agency records utilized in space planning, assignment, and adjustment.<br><br>B. Correspondence with and reports to staff agencies relating to agency space holdings and requirements.<br><br>1. Agency reports to the General Services Administration regarding space occupied in "Metropolitan Washington" and "Outside the District of Columbia," and related papers.<br><br>2. Copies in subordinate reporting units and related work papers.<br><br>C. General correspondence of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers. | (N 8-3)<br><br>DESTROY 2 YEARS AFTER TERMINATION OF ASSIGNMENT, OR WHEN LEASE IS CANCELLED, OR WHEN PLANS ARE SUPERSEDED OR OBSOLETE.<br>[GRS 11-2a]<br><br>DESTROY WHEN 2 YEARS OLD.<br>[GRS 11-2b(1)]<br><br>DESTROY WHEN 1 YEAR OLD.<br>[GRS 11-2b(2)]<br><br>DESTROY WHEN 2 YEARS OLD.<br>[GRS 11-1] |
| 1540         | <b>90</b>   | <b>BUILDING AND EQUIPMENT SERVICE FILES</b><br><br>Requests for building and equipment maintenance services, excluding fiscal copies.  | DESTROY 3 MONTHS AFTER WORK PERFORMED OR REQUISITION IS CANCELLED.<br>[GRS 11-5] (N 8-1)   |
| <b>1541</b>  |             | <b>Transportation and Parking Services</b>   | Contact Center Records Mgr.  |
| <b>1542</b>  |             | <b>Conference Rooms and Auditoriums</b>  | Contact Center Records Mgr.  |
| <b>1550</b>  |             | <b>General Office Services</b>   | (see below)  |
| 1550         | <b>91</b>   | <b>DIRECTORY LISTINGS - BUILDING / TELEPHONE</b><br><br>Correspondence, forms, and other records relating to the compilation of building and telephone directory service listings.   | DESTROY 2 MONTHS AFTER ISSUANCE OF LISTING.<br>[GRS 11-3] (N 1-32)   |
| <b>1551</b>  |             | <b>Internal Mail/Messenger Service</b>   | (see below)  |
| 1551         | <b>92</b>   | <b>NASA INTERNAL MAIL AND MESSENGER SERVICE RECORDS</b><br><br>Records of and receipts for mail and packages received through the official mail and  | DESTROY WHEN 6 MONTHS  |

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|--------------|-------------|--|--|
|              |             | messenger service.   | OLD.<br>[GRS 12-6f] (N 10-21)  |
|              |             |  |  |
|              |             |  |  |
| 1551         | <b>93</b>   | <b>MESSENGER SERVICE - MOTOR</b><br><br>Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.  | DESTROY WHEN 2 MONTHS OLD.<br>[GRS 12-1] (N 10-25)   |
|              |             |  |  |
| <b>1552</b>  |             | <b>Clerical and Stenographic</b>   | Contact Center Records Mgr.  |
| <b>1553</b>  |             | <b>Moving and Labor</b>  | Contact Center Records Mgr.  |
| <b>1570</b>  |             | <b>Office Supplies</b>   | (see below)  |
| 1570         | <b>94</b>   | <b>INVENTORY REQUISITION FILES - STOCK / SUPPLY</b><br><br>Requisitions for supplies and equipment for/from current inventory.<br><br>A. Stockroom copy.<br><br>B. Completed requisitions for service, supplies, and equipment, and travel documents. (Official file copies are maintained by the office rendering service.)<br><br>C. All other offices/copies.   | DESTROY 2 YEARS AFTER COMPLETION OR CANCELLATION OF REQUISITION.<br>[GRS 3-8a] (N 17-22)<br><br>DESTROY 1 YEAR AFTER ACTION IS COMPLETED.<br><DA: N1-255-94-1><br><br>DESTROY WHEN 6 MONTHS OLD.<br>[GRS 3-8b] |
|              |             |  |  |
| <b>1571</b>  |             | <b>Office Equipment and Furnishings</b>  | Contact Center Records Mgr.  |
|              |             |  |  |
|              |             |  |  |
| <b>1580</b>  |             | <b>Telephone (Local)</b>   | (see below)  |
| 1580         | <b>95</b>   | <b>TELEPHONE SERVICE RECORDS</b><br><br>Requests from operating units for installation, alterations, relocation, or removal of telephone facilities, excluding fiscal copy. General files including plans, reports, and other records pertaining to equipment requests, telephone service and like matters.  | DESTROY WHEN 3 YEARS OLD.<br>[GRS 12-2(b)/(d)] (N 8-2, N 10-16)  |
|              |             |  |  |
| <b>1590</b>  |             | <b>Miscellaneous Matters</b>   | Contact Center Records Mgr.  |
| <b>1600</b>  |             | <b>Security</b>  | (see below)  |
| 1600         | <b>96</b>   | <b>SECURITY PROGRAM FILES</b><br><br>A. <u>SIGNIFICANT POLICY AND PROGRAM RECORDS</u><br>Documents, manuals, directives, plans, reports and correspondence that document significant and/or unique security program functions, including NACA security program files.<br><br>B. <u>OTHER POLICY AND PROGRAM FILES</u><br>Records that reflect the administration and direction of security and protective services programs relating to routine classified information accounting and control, facilities security and program and protective services, personnel security clearances, and emergency planning. | * PERMANENT *<br>RETIRE TO FRC 5 YEARS AFTER SUPERCEDED. TRANSFER TO NARA WHEN 10 YEARS OLD.<br><DA: N1-255-94-1> (N 12-30)<br><br>DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-1>                              |

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|--------------|-----------------------|---|--|
|              |                       | C. <u>CLEARANCE SUBJECT FILES - ADMINISTRATIVE</u><br>Correspondence, reports, and other records relating to the routine administration and operations of the personnel security program, not covered by this item, or elsewhere in this schedule.  | DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-1>   |
| 1600         | <b>97</b><br><br>PASR | <b>SECURITY RECORDS SYSTEM - NASA 10 SECR</b><br><br>Records contained in this system/category consist of (1) Personnel Security Records, (2) Criminal Matter Records, and (3) Traffic Management Records.<br><br>A. Personnel Security Records<br><br>B. Criminal Matter Records<br><br>C. Traffic Management Records  | SEE SPECIFIC RECORD SERIES FOR AUTHORIZED DISPOSITION.<br><br>SEE ITEM 103 OF THIS SCHEDULE<br><br>SEE SCHEDULE 2.<br><br>SEE SCHEDULE 6.  |
| 1600         | <b>98</b>             | <b>NONPERSONAL REQUISITION FILES</b><br><br>Requisitions for non-personal services, such as duplicating, laundry, binding, and other services (EXCLUDING records associated with Accountable Officers' Accounts (Schedule 9)).  | DESTROY WHEN 1 YEAR OLD.<br>[GRS 3-7] (N 17-21)  |
| 1600         | <b>99</b>             | <b>KEY ACCOUNTABILITY FILES</b><br><br>Files relating to the accountability for keys, door cards, etc. issued.<br><br>A. Areas under maximum security.<br><br>B. All other areas.   | DESTROY 3 YEARS AFTER TURN-IN OF KEY.<br>[GRS 18-16a] (N 12-14)<br><br>DESTROY 6 MONTHS AFTER TURN-IN OF KEY.<br>[GRS 18-16b] (N 12-14)  |
| 1600         | <b>100</b>            | <b>GUARD SERVICE FILES</b><br><br>A. <u>ASSIGNMENT FILES</u><br><br>1. Files relating to guard assignment and strength.<br><br>(a) Ledger records.<br><br>(b) Requests, analyses, reports, change notices, and other papers relating to assignments and strength requirements.<br><br>B. <u>CONTROL FILES</u><br><br>1. Control center key or code records, emergency call cards, and building record and employee identification cards.<br><br>2. Round reports, service reports on interruptions and tests, and punch clock daily sheets. | DESTROY 3 YEARS AFTER FINAL ENTRY.<br>[GRS 18-13a] (N 12-13)<br><br>DESTROY WHEN 2 YEARS OLD.<br>[GRS 18-13b]<br><br>DESTROY WHEN SUPERCEDED OR OBSOLETE.<br>[GRS 18-19a] (N 12-10, N 12-17)<br><br>DESTROY WHEN 1 YEAR OLD.<br>[GRS 18-19b] |

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|--------------|------------------------|---|---|
|              |                        | 3. Automatic machine patrol charts and registers of patrol and alarm services.  | DESTROY WHEN 1 YEAR OLD.<br>[GRS 18-19c]  |
|              |                        | 4. Arms distribution sheets, logs, charge records, transfer sheets and receipts.  | DESTROY 3 MONTHS AFTER<br>RETURN OR ARMS.<br>[GRS 18-19d]   |
| 1600         | <b>101</b>             | <b>CLASSIFIED DOCUMENTS INVENTORY REPORTING FILES</b><br><br>Correspondence or documents used to report the results of inventories conducted under local requirements to assure proper accounting for all classified matter, including files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule.   | DESTROY WHEN 2 YEARS OLD.<br>[GRS 18-1] (N 1-9k)  |
|              |                        |   |   |
| <b>1610</b>  |                        | <b>Personnel Security</b>   | (see below)   |
| 1610         | <b>102</b>             | <b>CLASSIFIED INFORMATION NONDISCLOSURE AGREEMENTS</b><br>Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by employees with access to information which is classified or classifiable under standards put forth by Executive orders governing security classification. These forms should be maintained separately from personnel security clearance files.  | DESTROY WHEN 70 YEARS OLD.<br>[GRS 18-25]   |
|              |                        |   |   |
| 1610         | <b>103</b>             | <b>PERSONNEL SECURITY CLEARANCE FILES</b><br><br>Personnel security clearance case files and related indexes maintained by the personnel security office.<br><br>A. Files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.<br><br>B. Investigative reports and related papers furnished to agencies by investigative organizations for use in making security/suitability determinations.<br><br>C. Index to the Personnel Security Case Files.<br><br>D. Status files, lists, or rosters maintained in security units showing the current security clearance status of individuals. | DESTROY UPON NOTIFICATION OF DEATH OR NOT LATER THAN 5 YEARS AFTER SEPARATION OR TRANSFER OF EMPLOYEE OR NO LATER THAN 5 YEARS AFTER CONTRACT RELATIONSHIP EXPIRES, WHICHEVER IS APPLICABLE.<br>[GRS 18-22a] (N 12-19)<br><br>DESTROY IN ACCORDANCE WITH THE INVESTIGATING AGENCY INSTRUCTIONS.<br>[GRS 18-22b]<br><br>DESTROY WITH RELATED CASE FILE.<br>[GRS 18-22c]<br><br>DESTROY WHEN SUPERSEDED OR OBSOLETE.<br>[GRS 18-23] |
|              |                        |   |   |
| <b>1620</b>  |                        | <b>Physical Security</b>  | (see below)   |
| 1620         | <b>104</b><br><br>PASR | <b>GODDARD SPACE FLIGHT CENTER (GSFC) LOCATOR AND INFORMATION SERVICES TRACKING SYSTEM (LISTS) - NASA 51 LIST</b>   |   |

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|--------------|-------------|--|--|
|              |             | Employee identification cards/information. Records contained in the system will consist of privacy and personal information for all on-site and off-site NASA/GSFC civil servants and on-site and near-site contractors, tenants, and other guest workers possessing or requiring badge identifications. LISTS is a comprehensive and accurate source of information for institutional services and planning, general and personal information in order to assist the Security office in issuing picture badge identifications and in coordinating clearance requests; to establish for the Library an authorization for use of its printed materials; to identify the listed emergency contact in case of an emergency to a center employee or guest worker; and to provide a home address in case an employee or guest worker must be contacted during off hours or for official mailings to a home address. | RECORDS ARE RETAINED FOR VARYING PERIODS OF TIME DEPENDING ON THE NEED FOR USE OF THE FILES, AND ARE DESTROYED OR OTHERWISE DISPOSED OF WHEN SUPERSEDED DISPOSED OF WHEN SUPERSEDED NEEDED. [GRS 18-19a]   |
|              |             |  |  |
|              |             |  |  |
| 1620         | <b>105</b>  | <b>IDENTIFICATION CREDENTIALS FILES</b><br><br>Identification credentials and related papers.<br><br>A. Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room, and visitor passes, and any other similar identification credentials.<br><br>B. Receipts, indices, listings, and accountable records.   | DESTROY CREDENTIALS 3 MONTHS AFTER RETURN TO ISSUING OFFICE. [GRS 11-4a] (N 12-24a, N 8-4)<br><br>DESTROY AFTER ALL LISTED CREDENTIALS ARE ACCOUNTED FOR. [GRS 11-4b] (N 12-24b, N 8-4b)   |
|              |             |  |  |
| 1620         | <b>106</b>  | <b>FIREARMS - ACCOUNTABILITY / QUALIFICATION</b><br><br>A. Records of acquisitions of firearms.<br><br>B. Certificate to carry firearms (NASA Form 699a and 699b).<br><br>C. Data relating to individual qualifications, training, and maintenance of proficiency in the use of firearms.  | DESTROY 1 YEAR AFTER FIREARM IS DESTROYED OR TRANSFERRED. <DA: N1-255-94-1> (N 12-10)<br><br>DESTROY 1 YEAR AFTER TERMINATION OF CERTIFICATE. <DA: N1-255-94-1> (N 12-11)<br><br>DESTROY 1 YEAR AFTER TERMINATION OF INDIVIDUAL. <DA: N1-255-94-1> (N 12-12) |
|              |             |  |  |
| 1620         | <b>107</b>  | <b>FACILITIES CHECKS (BY GUARD FORCE)</b><br><br>Files relating to periodic guard force facility checks.<br><br>A. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices covered by Item 79 of this schedule).<br><br>B. Reports of routine after-hour security checks which either do not reflect security violations, or for which the information contained therein is documented in the files defined in Item 79 of this schedule.   | DESTROY WHEN 1 YEAR OLD. [GRS 18-18a] (N 12-16)<br><br>DESTROY WHEN 1 MONTH OLD. [GRS 18-18b]  |
|              |             |  |  |
| 1620         | <b>108</b>  | <b>SECURITY VIOLATION FILES</b><br><br>Case files relating to investigations of alleged violations of Executive Orders, laws or agency regulations for the safeguarding of national security information.  |  |

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|--------------|-------------|--|--|
|              |             | <p>A. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Departments of Justice or Defense for prosecutive determination, exclusive of files held by the Department of Justice or Defense offices responsible for making such determinations.</p> <p>B. All other offices and files, EXCLUSIVE of papers placed in official personnel folders.</p>  | <p>DESTROY 5 YEARS AFTER CLOSE OF CASE.<br/>[GRS 18-24a] (N 12-22, N 12-21)</p> <p>DESTROY 2 YEARS AFTER COMPLETION OF FINAL ACTION.<br/>[GRS 18-24b]</p>  |
| 1620         | 109         | <p><b>CONTAINER FILES</b></p> <p>A. <u>CLASSIFIED DOCUMENT SECURITY</u><br/>Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.</p> <p>B. <u>RETURNABLE</u><br/>Documents reflecting the receipt, transfer, and return to vendor of Documents reflecting the receipt, transfer, and return to vendor of receiving reports, reports of survey, shipping documents, reports, or similar documents.</p>   | <p>DESTROY WHEN SUPERSEDED BY A NEW FORM OR LIST, OR UPON TURN-IN OF CONTAINERS.<br/>[GRS 18-7a] (N 1-42)</p> <p>DESTROY 3 YEARS AFTER RETURN OF CONTAINER OR PURCHASE OF CONTAINER, WHICHEVER IS APPLICABLE.<br/>&lt;DA: N1-255-94-1&gt; (N 17-23)</p>  |
| 1630         |             | <b>Control of Classified Information</b>   |  |
| 1630         | 110         | <p><b>ACCESS REQUEST FILES</b></p> <p>Requests and authorizations for individuals to have access to classified files.</p>  | <p>DESTROY 2 YEARS AFTER AUTHORIZATION EXPIRES. EXPIRES.<br/>[GRS 18-6] (N 12-5)</p>   |
| 1630         | 111         | <p><b>DOCUMENTS: ACCOUNTABILITY / INVENTORY FILES</b></p> <p>A. <u>TOP SECRET DOCUMENTS</u></p> <ol style="list-style-type: none"> <li>Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction .</li> <li>Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.</li> </ol> <p>B. <u>CLASSIFIED DOCUMENTS</u></p> <ol style="list-style-type: none"> <li>Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but EXCLUSIVE of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.</li> <li>Receipt files and records documenting the receipt and issuance of classified documents.</li> <li>Destruction certificates relating to the destruction of classified documents.</li> </ol> | <p>DESTROY 5 YEARS AFTER DOCUMENTS SHOWN ON FORMS ARE DOWNGRADED, TRANSFERRED, OR DESTROYED.<br/>[GRS 18-5a] (N 12-2a)</p> <p>DESTROY WHEN RELATED DOCUMENT IS DOWNGRADED, TRANSFERRED, OR DESTROYED.<br/>[GRS 18-5b] (N 12-2b)</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 18-4] (N 12-3)</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 18-2]</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 18-3]</p> |

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|--------------|-------------|---|--|
| <b>1640</b>  |             | <b>Security Classifications</b>   | (see below)  |
| 1640         | <b>112</b>  | <b>SECURITY CLASSIFICATION SYSTEMS</b><br><br>Authorization documents for upgrading, downgrading, and declassifying documents or equipment.<br><br>A. Office of Primary Responsibility.<br><br>B. All other offices/copies.<br><br>NOTE: Records that document program policy or security classification and grading systems should be included in Item 96A of this Schedule.   | DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-1> (N 12-4)<br><br>DESTROY AFTER THE DOCUMENT TO WHICH THE CLASSIFICATION ACTION APPLIES HAS BEEN REGRADED OR DECLASSIFIED BY SUITABLE MARKINGS.<br><DA: N1-255-94-1>  |
| <b>1650</b>  |             | <b>Industrial Security</b>  | (see below)  |
| 1650         | <b>113</b>  | <b>INDUSTRIAL SECURITY FILES</b><br><br>Documents relating to the security classification or changes thereto, of a contract with industry.<br><br>A. Precedent and unusual cases selected by pertinent NASA Officials, i.e., Director, Security, Logistics & Industrial Relations Division; Chief, NASA Security.<br><br>B. All other offices/case files.   | DESTROY AFTER THE DOCUMENT TO WHICH THE CLASSIFICATION ACTION APPLIES HAS BEEN REGRADED OR DECLASSIFIED BY SUITABLE MARKINGS.<br><DA: N1-255-94-1> (N 12-29)<br><br>DESTROY WHEN NO LONGER NEEDED, OR 3 YEARS AFTER CONTRACT IS CLOSED/COMPLETED.<br><DA: N1-255-94-1> |
| <b>1670</b>  |             | <b>Security Education</b>   | Contact Center Records Mgr.  |
| <b>1680</b>  |             | <b>Visitor and Foreign Travel Control</b>   | (see below)  |
| 1680         | <b>114</b>  | <b>LOGS, REGISTERS, AND CONTROL FILES</b><br><br>A. <u>VISITORS</u><br>Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to restricted areas, and reports on automobiles and passengers.<br><br>1. Areas under maximum security.<br><br>2. All other areas.<br><br>B. <u>GUARDS</u><br>Guard logs and registers not covered elsewhere, or under A, of this schedule. | DESTROY 5 YEARS AFTER FINAL ENTRY OR DATE OF DOCUMENT, AS APPROPRIATE.<br>[GRS 18-17a] (N 12-15)<br><br>DESTROY 2 YEARS AFTER FINAL ENTRY OR DATE OF DOCUMENT, AS APPROPRIATE.<br>[GRS 18-17b]   |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

## SCHEDULE 1 (AFS 1000-1999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|---|--|
|              |             | 1. Central guard office master logs.<br><br>2. Individual guard post logs of occurrences entered in master logs.  | DESTROY 2 YEARS AFTER FINAL ENTRY.<br>[GRS 18-20a] (N 12-18)<br><br>DESTROY 1 YEAR AFTER FINAL ENTRY.<br>[GRS 18-20b]  |
| 1680<br>2630 | 115         | <b>PASSPORT FILES (SEE ALSO SCHEDULE 2)</b><br><br>Personal identification or passport photographs  | RETURN ORIGINAL TO REQUESTOR, DESTROY WHEN 5 YEARS OLD OR WHEN SUPERSEDED OR OBSOLETE, WHICHEVER IS LATER.<br>[GRS 21-2] (N 22-3)  |
| 1690         |             | <b>Security Surveys</b>   | (see below)  |
| 1690         | 116         | <b>SURVEYS AND INSPECTION OF FACILITIES</b><br><br>Reports of surveys and inspections of facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.<br><br>A. <u>GOVERNMENT-OWNED FACILITIES.</u><br><br>B. <u>PRIVATELY-OWNED FACILITIES.</u><br><br>Reports of surveys and inspections of facilities assigned security cognizance by Government agencies, and related documents. | DESTROY WHEN 3 YEARS OLD, OR UPON DISCONTINUANCE OF THE FACILITY, WHICHEVER IS SOONER.<br>[GRS 18-9] (N 12-7)<br><br>DESTROY WHEN 4 YEARS OLD OR WHEN SECURITY COGNIZANCE IS TERMINATED, WHICHEVER IS SOONER.<br>[GRS 18-10] |
| 1700         |             | <b>Safety</b>   | (see below)  |
| 1700         | 117         | <b>SAFETY FILES - PROPERTY</b><br><br>Safety inspection and maintenance records for all NASA real and personal property.<br><br>A. <u>INSPECTING OFFICE.</u><br>NOTE: Payload Safety Data Files/Records are maintained under UFI 8680 See Schedule 8 for records created in this series.<br><br>B. <u>ALL OTHER OFFICES/COPIES.</u>   | RETIRE TO FRC WHEN RELATED PROPERTY IS DISPOSED OF BY NASA. DESTROY 5 YEARS AFTER DISPOSAL.<br><DA: N1-255-94-1> (N 21-6)<br><br>DESTROY WHEN 4 YEARS OLD.<br><DA: N1-255-94-1>  |
| 1700         | 118         | <b>GROUND-BASED PRESSURE SYSTEMS RECORDS</b><br><br>Reports and correspondence related to design, inspection, and certification of Ground-Based Pressure Systems. Records may include Inspection reports, Pressure System Condition Reports Category C, Low Energy/Low Risk Requests, Pressure Systems Design Review Records, Waivers, and Weld/Braze Inspection Reports. Cutoff date is  |  |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|--|--|
|              |             | date of document.<br><br>A. Recordkeeping copy (paper)<br><br>B. Electronic copies generated on office automation applications such as E-mail and word processing applications.  | RETIRE TO FRC OR APPROVED STORAGE FACILITY WHEN 5 YEARS OLD. DESTROY WHEN 25 YEARS OLD.<br><N1-255-99-3><br><br>DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED.<br><N1-255-99-3>  |
| <b>1701</b>  |             | <b>Basic Policy</b>  | Contact Center Records Mgr.  |
| <b>1710</b>  |             | <b>Safety/Accident Prevention</b>  | (see below)  |
| 1710         | <b>119</b>  | <b>FIRE, EXPLOSION, AND ACCIDENT INVESTIGATIVE FILES</b><br><br>Case files, investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related papers when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements.<br><br>A. <u>PRECEDENT OR UNUSUAL CASES</u><br>Cases selected by pertinent NASA Officials, i.e., Chief, NASA Security Office, Associate Administrator, Office of Safety and Mission Assurance.<br><br>B. <u>ROUTINE CASES.</u> | * PERMANENT *<br>RETIRE TO FRC WHEN 5 YEARS OLD. TRANSFER TO NARA WHEN 30 YEARS OLD.<br><DA: N1-255-94-1> (N 12-8)<br><br>DESTROY WHEN 2 YEARS OLD.<br>[GRS 18-11]   |
| <b>1711</b>  |             | <b>Accident Reporting &amp; Investigation</b>  | (see below)  |
| 1711         | <b>120</b>  | <b>SAFETY REPORTS / RECORDS</b><br><br>A. <u>NASA SAFETY REPORTS - ANNUAL</u><br>Statistical reports, surveys on loss and injuries compiled by Headquarters from reports described in B of this item. (This is typically an annual report which can, but is not limited to, include hardware loss, and more information/data than DoL report requires.)<br><br>1. Headquarters.<br><br>2. Field Installations (feeder reports to HQ).<br><br>B. <u>SAFETY PROGRAM REPORTS</u><br>Statistical reports from field installations regarding injuries and accidents, such as NASA Forms 344 and 345.<br><br>1. Headquarters.  | RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 15 YEARS OLD.<br><DA: N1-255-94-1> (N 21-4)<br><br>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 10 YEARS OLD.<br><DA: N1-255-94-1><br><br>RETIRE TO FRC WHEN INACTIVE. DESTROY WHEN 15 YEARS OLD.<br><DA: N1-255-94-1> (N 21-3) |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|--|--|
|              |             | <p>2. Field Installations and all other offices/copies.</p> <p>C. <u>INDIVIDUAL ACCIDENT REPORTS</u><br/>Forms, reports, correspondence, and related medical and investigatory relating to on-the-job injuries whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor (DoL).</p> <p>D. <u>PROTECTIVE AND PREVENTIVE MEASURES REPORTS</u></p> <p>E. <u>SAFETY AND RELIABILITY REPORTS</u><br/>Files consists of Safety &amp; Reliability Reports including Hazard Reports and Risk Assessments relating to the KSC Ground Support Equipment that interfaces with the flight hardware. Files contain, but are not limited to: Preliminary-, KSC-Hazard Reports; ESR-, Mission Safety-, Safety-, and System/Subsystem-Assessments; System Safety Review Panel Issues; System Assurance-, Failure Mode &amp; Effects-Analyses; Critical Items Lists; Design Review Reports; and, Criticality Assessments.</p> | <p>RETIRE TO FRC WHEN INACTIVE. DESTROY WHEN 12 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>CLOSE FILE ON TERMINATION OF COMPENSATION OR WHEN DEADLINE FOR FILING A CLAIM HAS PASSED. DESTROY 3 YEARS AFTER CLOSE OF FILE.<br/>[GRS 1-31] (N 21-5)</p> <p>SEE ITEM 116 OF THIS SCHEDULE<br/>(N 21-7)</p> <p>RETIRE TO FRC WHEN THE RISK/ SAFETY ASSESSMENT/ANALYSIS IS COMPLETE/INACTIVE. DESTROY WHEN 15 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> |
| 1711         | <b>121</b>  | <b>ACCIDENT/MISHAP INCIDENT CASE FILES</b><br><br>Correspondence, reports, and all related papers concerning potential or actual individual accidents or incidents occurring at ground installations. Cutoff date is date case closed.<br><br>A. <u>HEADQUARTERS.</u> Recordkeeping copy (paper).<br><br>B. <u>FIELD INSTALLATIONS, ALL OTHER OFFICES/COPIES.</u> Recordkeeping copy (paper)<br><br>C. <u>INDIVIDUAL ACCIDENT REPORTS.</u>   | <p>RETIRE TO FRC WHEN INACTIVE. DESTROY WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 21-2)</p> <p>RETIRE TO FRC WHEN 4 YEARS OLD. DESTROY WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>SEE ITEM 120 C. OF THIS SCHEDULE</p>  |
| 1711         | <b>122</b>  | <b>MISHAP INVESTIGATION BOARD FILES</b><br><br>Files contain, in addition to others listed, photographs, witness interviews and all other materials concerning the investigation.  | <p>* PERMANENT *</p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. TRANSFER TO NARA WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-94-1, 14&gt;</p>  |
| <b>1712</b>  |             | <b>Injury Reporting</b>  | Contact Center Records Mgr.  |
| <b>1720</b>  |             | <b>Accident/Mishap Reporting</b>   | Contact Center Records Mgr.  |
| <b>1730</b>  |             | <b>Protective Clothing and Equipment</b>   | (see below)  |
| 1730         | <b>123</b>  | <b>SPECIAL PERMIT FILES</b><br><br>Requests for permits to operate and handle special type machines and tools controlled by manufacturers.   | DESTROY ON EXPIRATION OF PERMIT OR WHEN  |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|-------------|---|---|
|              |             |   | SUPERSEDED.<br><DA: N1-255-94-1> (N 21-8)   |
| <b>1740</b>  |             | <b>Safety Standards</b>   | (see below)   |
| 1740         | <b>124</b>  | <b>HEALTH PHYSICS AND PROCESS CONTROL DATA LOGS</b><br><br>Records of Health Physics Daily Logs, Water Activity Analysis Logs, Geiger-Mueller Analysis Logs, Air Sample Analysis Logs, Daily Routine Health Physics Logs, Background and Efficiency Logs, Portable Survey Instrument Calibration Logs, and Source Movement, Inventory and Leak Test Logs.   | RETIRE TO FRC WHEN 3 YEARS OLD. DESTROY WHEN 10 YEARS OLD.<br><DA: N1-255-94-1> (N 21-9)  |
| 1740         | <b>125</b>  | <b>SAFETY STANDARDS FILES</b><br><br>Documents created in the development of safety standards and practices in developmental and production operations; the safety location, design, layout, and construction of facilities where fuels, propellants, or other hazardous materials are handled or operations are exposed to ignition hazards; the safe handling, storage, and movement of hazardous materials; and other areas requiring safety standards. The files include recommendations, coordination actions, studies, and other actions taken to establish standards.<br><br>A. Office developing the standards.<br><br>B. All other offices/copies.     | DESTROY WHEN 10 YEARS OLD OR WHEN SUPERSEDED OR OBSOLETE, WHICHEVER IS SOONER.<br><DA: N1-255-94-1> (N 21-1)<br><br>DESTROY 2 YEARS AFTER SUPERSEDED OR OBSOLETE, WHICHEVER IS SOONER.<br><DA: N1-255-94-1> |
| <b>1800</b>  |             | <b>Occupational Health</b>  | (see below)   |
| 1800         | <b>126</b>  | <b>HEALTH AND OCCUPATIONAL MEDICINE RECORDS</b><br><br>NOTE: Occupational Safety and Health Administration (OSHA) Records are maintained under AFS 8720. See Schedule 8 for records created in this series.<br><br>A. <u>NASA HEALTH INFORMATION MANAGEMENT SYSTEM - NASA 10 HIMS</u><br>NASA Civil Service employees and applicants; other agency civil service and military employees working at NASA; visitors to field installations; on-site contractor personnel who receive job related examinations, have mishaps or accidents, or come to the clinic for emergency or first aid treatment.<br><br>B. <u>SPACE FLIGHT PERSONNEL AND THEIR FAMILIES.</u> | SEE FOLLOWING INDIVIDUAL ITEMS LISTED SEPARATELY BY RECORD SERIES/CATEGORY.<br><DA: N1-255-94-1><br><br>* PERMANENT *<br>SEE SCHEDULE 8.  |
|              |             | C. <u>HEALTH AND MEDICAL REPORTS</u><br>Statistical reports on health and medical services and vital statistics reports on NASA personnel. Includes copies of statistical summaries and reports with related papers pertaining to employee health, retained by reporting unit.<br><br>1. Headquarters.<br><br>2. Field Installations.   | DESTROY 6 YEARS AFTER DATE OF SUMMARY OR REPORT.<br><DA: N1-255-94-1> (N 11-5)<br><br>DESTROY 2 YEARS AFTER DATE OF SUMMARY OR REPORT.  |

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**SCHEDULE 1**  
(AFS 1000-1999)

| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OF RECORD SERIES   | RETENTION<br><Authority>  |
|-------|------|--|---|
|       |      | D. <u>CONSOLIDATED HEALTH AND MEDICAL REPORTS</u><br>THIS RECORD SERIES IS NO LONGER CREATED. SHOULD THERE BE A REQUIREMENT FOR THIS TYPE OF DOCUMENTATION, PLEASE CONTACT YOUR LOCAL INSTALLATION RECORDS MANAGER FOR INSTRUCTIONS.   | [GRS 1-22]<br><br><i>C L O S E D   S E R I E S</i>  |
| 1800  | 127  | <b>EMPLOYEE HEALTH RECORDS</b><br><br>A. <u>INDIVIDUAL HEALTH CASE FILES - EMPLOYEE MEDICAL FOLDER (EMF)</u><br>1. Examinations recorded on SF 78, such as pre-employment physical examinations; health qualification placement records; disability retirement examinations; fitness for duty examinations; and any other documents deemed of long-term value as defined in 5 CFR part 293, subpart E.<br><br>(a) Transferred employees.<br><br>(b) Separated employees.<br><br><br>2. TEMPORARY or SHORT-TERM records as defined in the FPM. Records may consist of forms, correspondence, and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the Health Unit, EXCLUDING records cited in "a." above. These are records that are not required for filing in the EMF, and if not retained by the agency, should UNDER NO CIRCUMSTANCES be sent to the NPRC.<br><br>3. Individual Employee Health Case Files created prior to establishment of the EMF system that have been retired to an FRC. | UPON TRANSFER, SHIP ENTIRE MEDICAL RECORD, INCLUDING X-RAYS, TO MEDICAL OFFICE OF NEW ASSIGNMENT.<br>[GRS 1-21a(1)]    (N 11-4)<br><br>30 DAYS AFTER SEPARATION, TRANSFER TO NATIONAL PERSONNEL RECORDS CENTER (NPRC), ST. LOUIS, MO. NPRC WILL DESTROY 75 YEARS AFTER BIRTH DATE, 60 YEARS AFTER DATE OF THE EARLIEST DOCUMENT IN THE FOLDER IF THE DATE OF BIRTH CANNOT BE ASCERTAINED, OR 30 YEARS AFTER LATEST SEPARATION, WHICHEVER IS LATER.<br>[GRS 1-21a(2)]<br><br>DESTROY 1 YEAR AFTER SEPARATION OR TRANSFER OF EMPLOYEE.<br>[GRS 1-21b]<br><br>DESTROY 60 YEARS AFTER RETIREMENT TO FRC.<br>[GRS 1-21c] |
|       |      | B. <u>INDIVIDUAL NON-OCCUPATIONAL HEALTH RECORD CARDS/FILES</u><br>Records in this series include forms, correspondence, and other documents, including summary records, documenting an individual employee's medical history, physical condition and visits to Government health facilities, for non-work related purposes, EXCLUDING records covered by A. above.<br><br>1. NASA employees<br>Cards which contain such information as date of employee's visit, diagnosis, and treatment.<br><br>2. On-Site Contractor Personnel<br>Doctor's clinic records or similar records which contain data of visit, diagnosis, and treatment.  | DESTROY 6 YEARS AFTER DATE OF LAST ENTRY.<br>[GRS 1-19]    (N 11-2)<br><br>DESTROY 8 YEARS AFTER INDIVIDUAL'S EMPLOYMENT  |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

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|--------------|------------------------|---|--|
|              |                        | <p>C. <u>EMPLOYEE ASSISTANCE PROGRAM</u><br/>Personal case files consisting of handwritten notes, letters to physicians or counselors, calendar of treatment(s), authorization releases, after care information and telephone messages. Case files are to be maintained separate from the EMF and/or the Official Medical Record(s), kept to an absolute minimum, and handled with privacy in accordance with Section 408 of Public Law 92-155.</p> <p>1. Management Referral.</p> <p>2. Voluntary.</p> | <p>ON-SITE IS TERMINATED.<br/>&lt;DA: N1-255-94-1&gt; (N 11-3)</p> <p>DESTROY 5 YEARS AFTER<br/>LAST DATE IN FILE, OR UPON<br/>TERMINATION OF EMPLOYEE.<br/>&lt;DA: N1-255-90-8&gt;</p> <p>DESTROY 2 YEARS AFTER<br/>LAST DATE IN FILE, OR UPON<br/>TERMINATION OF EMPLOYEE.<br/>&lt;DA: N1-255-90-8&gt;</p> |
| <b>1810</b>  |                        | <b>Professional Medical Services</b>  | Contact Center Records Mgr.  |
| <b>1812</b>  |                        | <b>Medicines</b>  | Contact Center Records Mgr.  |
| <b>1814</b>  |                        | <b>Clinical Facilities</b>  | (see below)  |
| 1814         | <b>128</b>             | <p><b>HEALTH UNIT CONTROL FILES</b></p> <p>Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.</p> <p>A. <u>SUMMARIZED ON STATISTICAL REPORT.</u></p> <p>B. <u>NOT SUMMARIZED.</u></p>  | <p>DESTROY 3 MONTHS AFTER<br/>LAST ENTRY.<br/>[GRS 1-20a] (N 11-1)</p> <p>DESTROY 2 YEARS AFTER<br/>LAST ENTRY.<br/>[GRS 1-20b]</p>  |
| <b>1815</b>  |                        | <b>Narcotics and Drugs</b>  | (see below)  |
| 1815         | <b>129</b>             | <p><b>NARCOTICS AND SEDATIVE DRUG RECORDS</b></p> <p>All records on the control and disposition of narcotic and sedative drugs, including completed NASA Forms 1387, describing dosages, shipments, inventories, and verifications.</p>   | <p>DESTROY WHEN 3 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;<br/>(N 11-11)</p>   |
| <b>1820</b>  |                        | <b>Preventive Medicine</b>  | Contact Center Records Mgr.  |
| <b>1830</b>  |                        | <b>Physical Fitness</b>   | Contact Center Records Mgr.  |
| <b>1840</b>  |                        | <b>Industrial Hygiene</b>   | Contact Center Records Mgr.  |
| <b>1845</b>  |                        | <b>Health Standards</b>   | Contact Center Records Mgr.  |
| <b>1850</b>  |                        | <b>Toxicology</b>   | Contact Center Records Mgr.  |
| <b>1852</b>  |                        | <b>Advisory Center on Toxicology</b>  | Contact Center Records Mgr.  |
| <b>1860</b>  |                        | <b>Radiological Health</b>  | (see below)  |
| 1860         | <b>130</b><br><br>PASR | <p>A. <u>GODDARD SPACE FLIGHT CENTER RADIATION SAFETY COMMITTEE RECORDS - NASA 51 RSCR</u></p> <p>Employment and training history of radiation users and custodians under Goddard Space Flight Center (GSFC) cognizance.</p>  | <p>RECORDS ARE KEPT FOR 2<br/>YEARS. IF EMPLOYEE DOES<br/>NOT WISH TO BE RENEWED<br/>FOR THE POSITION AT THE<br/>END OF 2-YEAR PERIOD, THE<br/>RECORD IS REMOVED AND</p>   |

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|--------------|-------------|--|--|
|              | PASR        | B. <u>KENNEDY SPACE CENTER RADIATION TRAINING AND EXPERIENCE SUMMARY - NASA 76 RTES</u><br><br>Custodians and/or users of sources of radiation (ionizing and non-ionizing) Applicable to all users or custodians at Kennedy Space Center (KSC) and NASA or NASA contractor personnel at Cape Canaveral Air Force Station, Florida, or Vandenberg Air Force Base, California.   | PLACED IN AN INACTIVE FILE. RECORDS ARE RETAINED AT GSFC UNTIL DESTROYED. DESTROY WHEN 75 YEARS OLD.<br><DA: N1-255-94-1>  |
|              | PASR        | C. <u>KSC-USNRC OCCUPATIONAL EXTERNAL RADIATION EXPOSURE HISTORY FOR NUCLEAR REGULATORY COMMISSION LICENSES - NASA 76 XRAD</u>   | RECORDS ARE RETAINED AT KSC. DESTROY WHEN 75 YEARS OLD.<br><DA: N1-255-94-1>   |
|              | PASR        | KSC personnel, civil servants, and contractor personnel, who have received radiation exposure. Files include name, date of birth, exposure history, name of license holder, and social security number.  |  |
|              |             | D. <u>LEWIS RESEARCH CENTER OCCUPATIONAL RADIATION EXPOSURE RECORDS - NASA 22 ORER</u><br>NOTE: Lewis Research Center name changed to Glenn Research Center (GRS) at Lewis Field on March 1, 1999. System name changed to GLENN RESEARCH CENTER OCCUPATIONAL RADIATION EXPOSURE RECORDS - NASA 22 ORER.<br><br>Present and former Lewis Research Center (LeRC) employees and contractor personnel who may be exposed to radiation. Files include name, date of birth, exposure history, name of license holder, social security number, employment and training history. | RECORDS ARE RETAINED AT LeRC. DESTROY WHEN 75 YEARS OLD.<br><DA: N1-255-94-1>  |
|              |             |  |  |
| <b>1870</b>  |             | <b>Environmental Sanitation</b>  | (see below)  |
| 1870         | <b>131</b>  | <b>PESTICIDE RECORDS</b><br><br>A. <u>ANNUAL REPORTS</u><br>Reports of pesticides used at NASA installations prepared by Headquarters at the request of the Federal Committee on Pest Control (FCPC).<br><br>RECORDS IN THIS SERIES ARE NO LONGER CREATED. SHOULD THERE BE A NEED FOR THIS ITEM, CONTACT YOUR LOCAL INSTALLATION RECORDS MANAGER FOR INSTRUCTIONS.<br><br>B. <u>MISCELLANEOUS REPORTS</u><br>Reports on pesticides used at field installations, such as FCPC Forms 1 and 2.<br><br>1. Headquarters.<br><br>2. Field Installations.                       | <i>CLOSED SERIES</i><br><br>(N 11-10)<br><br><br><br><br><br><br><br>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-1> (N 11-9)<br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-1> |
| 1870         | <b>132</b>  | <b>ENVIRONMENTAL HEALTH REPORTS</b><br><br>A. Reports on environmental health from field installations.  |  |

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# ORGANIZATION AND ADMINISTRATIVE RECORDS

## SCHEDULE 1 (AFS 1000-1999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|---|---|
|              |             | 1. Headquarters.<br><br>2. Field Installations.<br><br>B. Consolidated reports, program evaluation reports by Headquarters, based on reports described in "a." above.<br><br>RECORDS IN THIS SERIES ARE NO LONGER CREATED. SHOULD THERE BE A NEED FOR THIS ITEM, CONTACT YOUR LOCAL CENTER RECORDS MANAGER FOR INSTRUCTIONS.  | RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-1> (N 11-7)<br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-1><br><br><i>C L O S E D   S E R I E S</i><br><br>(N 11-8)   |
| <b>1880</b>  |             | <b>Entomology</b>   | Contact Center Records Mgr.   |
| <b>1890</b>  |             | <b>Disaster Medical Planning</b>  | Contact Center Records Mgr.   |
| <b>1900</b>  |             | <b>Standards of Conduct</b>   | (see below)   |
| 1900         | <b>133</b>  | <b>STANDARDS OF CONDUCT FILES (SoC)</b><br><br>A. <u>GENERAL FILES - SoC</u><br>Correspondence, memoranda, and other reports/records relating to codes of ethics and standards of conduct.<br><br>B. <u>STANDARDS OF CONDUCT COUNSELLING CASE FILES - NASA 10 SCCF</u><br>Current, former, and prospective NASA employees, who have sought advice or have been counseled regarding conflict of interest requirements for government employees. Files could include, depending upon the nature of the problem, information collected on employment history, financial data, and information concerning family matters. | DESTROY WHEN OBSOLETE OR SUPERSEDED.<br>[GRS 1-27]<br><br>RECORDS ARE RETAINED AT NASA HEADQUARTERS.<br>DESTROY WHEN 6 YEARS OLD.<br><DA: N1-255-94-1>  |
| 1900         | <b>134</b>  | <b>FINANCIAL DISCLOSURE REPORTS</b><br><br>A. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (PL 95-521).<br><br>1. Records including SF 278A for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the U.S. Senate.<br><br>2. All other records including SF 278.<br><br>B. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222.   | DESTROY 1 YEAR AFTER NOMINEE CEASES TO BE UNDER CONSIDERATION FOR APPOINTMENT; <u>EXCEPT</u> THAT DOCUMENTS NEEDED IN AN ON-GOING INVESTIGATION WILL BE THE INVESTIGATION.<br>GRS 1-24a(1)] (N 15-41)<br><br>DESTROY WHEN 6 YEARS OLD; <u>EXCEPT</u> THAT DOCUMENTS NEEDED IN AN ON-GOING INVESTIGATION WILL BE RETAINED UNTIL NO LONGER NEEDED IN THE INVESTIGATION.<br>[GRS 1-24a(2)]<br><br>DESTROY WHEN 6 YEARS OLD; <u>EXCEPT</u> THAT DOCUMENTS NEEDED IN AN ONGOING INVESTIGATION WILL BE RETAINED UNTIL NO LONGER NEEDED IN THE |

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|--------------|-------------|---|---|
|              |             |   | INVESTIGATION.<br>[GRS 1-24b]   |
| 1900         | 135         | <b>INSPECTION REPORT FILES</b><br><br>Case files of investigations and inspection reports and related papers on NASA personnel or private concerns having relationships with NASA relating to alleged violations of standards of conduct, regulations, or of Federal criminal law.  | RETIRE TO FRC AFTER CASE IS CLOSED. DESTROY WHEN 30 YEARS OLD.<br><DA: N1-255-94-1> (N 12-1)  |
|              |             |   |   |
| 1910         |             | <b>Ethics</b>   | Contact Center Records Mgr.   |
|              |             |   |   |
|              | 136         | <b>RECORDS NOT COVERED ELSEWHERE IN THIS HANDBOOK.</b>  | SUBMIT NASA FORM 1418, "PROPOSED CHANGE TO NASA RECORDS CONTROL SCHEDULES," TO INSTALLATION RECORDS MANAGER FOR SUBMISSION TO THE NASA RECORDS OFFICER FOR PROCESSING.<br><DA: N1-255-94-1> |
|              |             |   |   |
|              | 137         | <b>REJECTED RECORD OFFERS</b><br><br>Records offered to the National Archives and Records Administration but appraised as lacking sufficient research or other value to warrant permanent retention or records that do not require a SF 115. Contact Installation Records Manager or the Agency Records Officer for more information on this process. | SEE 36 CFR, SECTION 1228.60, FOR POSSIBLE DONATION; OR DESTROY IMMEDIATELY IF RECORDS ARE NOT WANTED.<br><DA: N1-255-94-1>  |
|              |             |   |   |
|              |             |   |   |
|              |             | <b>END OF SCHEDULE</b>  |   |
|              |             |   |   |
|              |             |   |   |
|              |             |   |   |

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## NASA RECORDS RETENTION SCHEDULE 2

### LEGAL AND TECHNICAL RECORDS

This records schedule is one of a series of schedules approved by the Archivist of the United States, which furnish authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers/installations or offices. This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

#### LEGAL

The records described in Schedule 2, pertain to the management and operation of NASA's legal and patent functions. They are created and accumulated by organizations that have management control or formulate and prescribe legal or patent policies and procedures and by activities and offices applying these procedures. This schedule describes the pertinent categories and specifies the retention period and dispositions for each.

#### TECHNICAL

In addition, Schedule 2, also includes records that pertain to the management and operation of NASA's scientific and technical information programs, including the technology utilization offices. These records include the published formal series of scientific and technical information, the routine operating procedures which include sending the contracting officer a copy of all correspondence with the contractor pertaining to contract administration, and the patent counsel copies of reportable items and data, and all correspondence relevant to innovations and potentially patentable inventions.



# LEGAL AND TECHNICAL RECORDS

## SCHEDULE 2 (AFS 2000-2999)

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| <u>AFS #</u>     | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|------------------|-------------|---|---|
| <b>2000-2999</b> |             | <b>LEGAL AND TECHNICAL</b>  | (see below)   |
|                  | <b>0.1</b>  | <b>ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES</b><br><br>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.<br><br>This disposition applies to electronic copies of all items covered under Disposition Jobs N1-255-94-1 and N1-255-94-3, in the NASA Records Retention Schedule 2, with the following exception: <ul style="list-style-type: none"> <li>Item 13 (Automated Data Processing (ADP) Records -- General)</li> </ul> In addition, this disposition does not apply to any item already covered by the General Records Schedules. <p>A. Electronic copies created on electronic mail and word processing systems that have no further administrative value after recordkeeping copy is made.</p> <p>B. Electronic copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> | DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED AND DISSEMINATION, REVISION, OR UPDATING IS COMPLETED.<br><DA: N9-255-00-02><br><br>DELETE WHEN DISSEMINATION, REVISION OR UPDATING IS COMPLETED.<br><DA: N9-255-00-02>   |
| <b>2000</b>      |             | <b>General (Laws And Legal Matters)</b>   | (see below)   |
| 2000             | <b>1</b>    | <b>FEDERAL PERSONNEL SURETY BOND FILES</b><br><br>A. Official copies of the bond and attached powers of attorney. <ol style="list-style-type: none"> <li>Bonds purchased before January 1, 1956.</li> <li>Bonds purchased after December 31, 1955.</li> </ol> <p>B. Other bond files, including other copies of bonds and related papers.</p> <p>C. Surety bond review files and documents relating to the review of the legal sufficiency of surety bonds.</p>   | DESTROY 15 YEARS AFTER BOND BECOMES INACTIVE.<br>[GRS 6-6a(1)] (N 2-7)<br><br>DESTROY 15 YEARS AFTER THE END OF THE BOND PREMIUM PERIOD.<br>[GRS 6-6a(2)]<br><br>DESTROY WHEN BOND BECOMES INACTIVE OR AFTER THE END OF THE BOND PREMIUM PERIOD.<br>[GRS 6-6b]<br><br>DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-1> (N 13-6) |
| 2000             | <b>2</b>    | <b>PATENT FILES</b><br><br>A. <u>PATENT SOLICITATION CASE FILES</u><br><br>Files may include but are not limited to the following records, including  |   |

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# LEGAL AND TECHNICAL RECORDS

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|--------------|-------------|---|---|
|              |             | <p>invention disclosures (whether patented or not) received by NASA via another agency through a contract.</p> <p>1. Files for specific invention disclosures for which no patent application was filed.</p> <p>2. File for specific invention disclosures for which patent application was filed.</p> <p>3. Soliciting instructions to installations regarding procedures for soliciting.</p> <p>B. <u>DETERMINATION OF RIGHTS</u> to Employee Inventions, including documents pertaining to Executive Order 10096, et seq.</p> <p>C. <u>ASSISTANCE TO OTHER AGENCIES ON PATENTS.</u><br/>Files include legal assistance given to other agencies on patent matters.</p> <p>D. <u>PATENT-SOLICITING INSTRUCTIONS TO JPL</u> regarding solicitation procedures.</p> <p>E. <u>ALL OTHER OFFICES/COPIES.</u></p> | <p>RETIRE TO FRC 6 MONTHS AFTER CASE IS INACTIVE. DESTROY WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 13-9)</p> <p>RETIRE TO FRC 6 MONTHS AFTER PATENT IS ISSUED. DESTROY WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 1 YEAR OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>RETIRE TO FRC 6 MONTHS AFTER CASE IS INACTIVE OR 6 MONTHS AFTER PATENT IS ISSUED. DESTROY WHEN 25 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 13-13)</p> <p>DESTROY WHEN 1 YEAR OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN OBSOLETE OR SUPERSEDED.<br/>&lt;DA: N1-255-94-1&gt;</p> |
| <b>2001</b>  |             | <b>Litigation</b>   | Contact Center Records Mgr.   |
| <b>2010</b>  |             | <b>Law</b>  | Contact Center Records Mgr.   |
| <b>2011</b>  |             | <b>Civil Law</b>  | Contact Center Records Mgr.   |
| <b>2012</b>  |             | <b>Criminal Law</b>   | Contact Center Records Mgr.   |
| <b>2013</b>  |             | <b>Administrative Law</b>   | Contact Center Records Mgr.   |
| <b>2014</b>  |             | <b>Procedural Law</b>   | Contact Center Records Mgr.   |
| <b>2015</b>  |             | <b>Federal Law</b>  | Contact Center Records Mgr.   |
| <b>2016</b>  |             | <b>State Law</b>  | Contact Center Records Mgr.   |
| <b>2017</b>  |             | <b>Foreign Law</b>  | Contact Center Records Mgr.   |
| <b>2018</b>  |             | <b>International Law</b>  | Contact Center Records Mgr.   |
| <b>2019</b>  |             | <b>Statute Law</b>  | Contact Center Records Mgr.   |
| <b>2020</b>  |             | <b>Case Law</b>   | Contact Center Records Mgr.   |
| <b>2030</b>  |             | <b>Legal Assistance</b>   | Contact Center Records Mgr.   |
| <b>2040</b>  |             | <b>Taxes, Customs, and Duties</b>   | Contact Center Records Mgr.   |
| <b>2045</b>  |             | <b>Service of Process (Subpoena)</b>  | Contact Center Records Mgr.   |
| <b>2050</b>  |             | <b>Courts, Boards, and Arbitration</b>  | Contact Center Records Mgr.   |
| <b>2055</b>  |             | <b>Garnishment</b>  | Contact Center Records Mgr.   |
| <b>2060</b>  |             | <b>Codifications and Citations</b>  | Contact Center Records Mgr.   |

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|--------------|-------------|---|--|
| <b>2070</b>  |             | <b>Interpretations</b>  | (see below)  |
| 2070         | <b>3</b>    | <b>LEGAL OPINION/ADVICE FILES</b><br><br>Documents reflecting legal opinions/advice, or legal research memos, incident to the interpretation of statutes (ethics), regulations, and other legal matters concerning NASA. This record series can, or may include legal opinions or client advice.<br><br>A. <u>PAPER DOCUMENTS</u><br><br>B. <u>ELECTRONIC MEDIA</u> - Headquarters Only, Office of General Counsel  | SEE PAGE NOTE BELOW<br><br>HANDLE AS PERMANENT<br>PENDING RETENTION<br>APPROVAL (N 13-3)<br><br>HANDLE AS PERMANENT<br>PENDING RETENTION<br>APPROVAL   |
| <b>2080</b>  |             | <b>Claims</b>   | (see below)  |
| 2080         | <b>4</b>    | <b>CLAIMS FILES</b><br><br>Case files relating to claims in favor of, or against, the Government for damage, loss, or destruction of property, and for personal injury or death resulting from negligence or wrongful acts or omissions of acts. Included, but not limited to, are tort claims (2 yr. statute of limitation), maritime claims, foreign claims, international treaties, Space Act claims, and personal property claims.<br><br>A. <u>SPECIAL MASTER CLAIMS</u><br><br>Claims established when many claims result from a single accident, incident, or disaster.<br><br>B. <u>ROUTINE ALLOWED OR DISALLOWED CLAIMS</u><br><br>1. Claims involving personal injury or a minor.<br><br>2. All other claims.<br><br>C. <u>REPORTS</u><br><br>1. Investigative<br>Documents accumulated from investigating accidents and incidents which could, but do not, result in the filing of a claim.<br><br>2. Miscellaneous<br>Claims reports consisting of statistical, fiscal, and related reports on the disposition of claims. | RETIRE TO FRC 2 YEARS AFTER<br>FINAL ACTION ON CASE.<br>DESTROY WHEN 28 YEARS OLD.<br><DA: N1-255-94-1> (N 13-1)<br><br>RETIRE TO FRC 2 YEARS AFTER<br>FINAL ACTION ON THE CASE.<br>DESTROY WHEN 28 YEARS OLD.<br><DA: N1-255-94-1><br><br>RETIRE TO FRC 2 YEARS AFTER<br>FINAL ACTION ON CASE.<br>DESTROY WHEN 8 YEARS OLD.<br><DA: N1-255-94-1><br><br>RETIRE TO FRC ON EXPIRATION<br>OF PERTINENT STATUTORY<br>PERIOD FOR FILING A CLAIM.<br>DESTROY 5 YEARS AFTER<br>EXPIRATION OF PERTINENT<br>STATUTORY PERIOD.<br><DA: N1-255-94-1> (N 13-4)<br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-1> (N 13-5) |
| <b>2082</b>  |             | <b>Tort Claims</b>  | Contact Center Records Mgr.  |
|              |             |   |  |
|              |             |   |  |

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|--------------|-------------|--|--|
| <b>2084</b>  |             | <b>Contract Claims</b>   | (see below)  |
| 2084         | <b>5</b>    | <b>ADMINISTRATIVE AND COURT LITIGATION CASES INVOLVING NASA</b><br><br>Files of cases including, but not limited to, complaint answer, motions, discovery, transcript of proceedings, trial exhibits and briefs in support of the parties' positions, together with the working papers of the attorney handling the case.  | RETIRE TO FRC 2 YEARS AFTER YEAR IN WHICH COURT RENDERS ITS FINAL DECISION OR THE YEAR IN WHICH THE CASE IS SETTLED. DESTROY 20 YEARS AFTER FINAL DECISION OR CASE IS SETTLED.<br><DA: N1-255-94-1> (N 13-23)  |
| <b>2086</b>  |             | <b>False or Fraud Claims</b>   | Contact Center Records Mgr.  |
| <b>2087</b>  |             | <b>Debt Claims</b>   | Contact Center Records Mgr.  |
| <b>2090</b>  |             | <b>Civil Rights</b>  | Contact Center Records Mgr.  |
| <b>2091</b>  |             | <b>Inventions Made by Government Employee</b>  | Contact Center Records Mgr.  |
| <b>2092</b>  |             | <b>Royalties Received by NASA</b>  | Contact Center Records Mgr.  |
| <b>2100</b>  |             | <b>Technology Utilization (Including Small Business Innovative Research (SBIR))</b>  | (see below)  |
| 2100         | <b>6</b>    | <b>SMALL BUSINESS INNOVATIVE RESEARCH (SBIR)</b><br><br>These are files that are maintained by the Technology Utilization Office<br><br>Office at Field Installations of solicited proposals. NASA typically announces to small business entities what areas of interest and/or research monies are available for possible performance. Small businesses send in proposals to NASA in the subject areas for review and evaluation. These files are kept in the sequence of phases required under the SBA regulations.<br><br>A. <u>PHASE I - SELECTED PROPOSALS</u><br><br>Winning proposals, scores, evaluations, recommendations, and selected proposals which are funded.<br><br>B. <u>PHASE I - NOT SELECTED</u><br><br>Proposals not selected for funding.<br><br>C. <u>PHASE II - FUNDED PROPOSALS</u><br><br>Original proposals, evaluation sheets, recommendations, and selection sheets.<br><br>D. <u>PHASE II - NOT FUNDED</u><br><br>Proposals no selected for funding (Phase II only--but selected during during Phase I process). | RETAIN AND INCORPORATE INTO PHASE II CASE FILES.<br><DA: N1-255-94-1><br><br>DESTROY PROPOSALS NOT FUNDED ONE YEAR AFTER COMPLETION OF END OF PHASE I.<br><DA: N1-255-94-1><br><br>DESTROY FUNDED PHASE II FILES 3 YEARS AFTER THE END, TERMINATION, OR COMPLETION OF PHASE II.<br><DA: N1-255-94-1><br><br>DESTROY UNFUNDED PHASE II PROPOSALS ONE YEAR AFTER THE SELECTION ANNOUNCEMENT OF PHASE II<br><DA: N1-255-94-1> |

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|--------------|-------------|--|---|
|              |             | <p>E. <u>NASA HEADQUARTERS - OPR</u></p> <p>These records include both Phase I and II proposals, and are microfiched in their entirety.</p> <p>F. <u>MICROFICHE</u><br/>(Item E. Above.)</p>   | <p>DESTROY PAPER RECORDS<br/>AFTER MICROFICHING.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY MICROFICHE WHEN<br/>10 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p>   |
| 2100         | 7           | <p><b>TECHNOLOGY UTILIZATION FILES</b></p> <p>A. <u>PUBLICATION ORDERS, MEMORANDA, AND REPORTS FILES</u></p> <p>Orders, memoranda, and reports between the Technology Utilization Office and the Scientific and Technical Information Office, relating to the use of STI's services. (This includes files created both by Headquarters and Field Installations.)</p> <p>B. <u>TU CONFERENCE PROCEEDINGS (ANNUAL) (HQ ONLY)</u></p> <p>Finished published conference proceedings maintained and located at CASI (Center for AeroSpace Information).<br/>(Office of Primary Responsibility - NASA Headquarters, Code C)</p> <p>C. <u>TU CLIPPING FILE</u> (Maintained at CASI - Center for AeroSpace Information)</p> <p>Files of articles appearing in technical and trade magazines on the NASA TU Program (including current and after-the-fact articles), and the transfer of space technology to private industry.</p> <ol style="list-style-type: none"> <li>1. Clippings with no value (including those that do not directly relate to a specific project/program).</li> <li>2. Clippings of TU that have value and are related to a project/program.</li> <li>3. JPL ONLY: OPR</li> <li>4. All other office/copies.</li> </ol> | <p>DESTROY WHEN 2 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 23-5)</p> <p>* PERMANENT *<br/>TRANSFER TO NARA IN<br/>10 YEAR BLOCKS WHEN 30<br/>YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER<br/>NEEDED OR WHEN 3 YEARS<br/>OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt; (N 23-6)</p> <p>PLACE CLIPPING IN SPINOFF<br/>CASE SEE ITEM I. OF THIS<br/>SCHEDULE.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>RETIRE TO LOCAL RECORDS<br/>STORAGE WHEN 1 YEAR OLD.<br/>TRANSFER TO JPL ARCHIVES<br/>WHEN 10 YEARS OLD. DESTROY<br/>WHEN NO LONGER NEEDED.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER<br/>NEEDED OR WHEN 1 YEAR OLD,<br/>WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> |
| 2130         |             | <p>D. <u>TECHNICAL BRIEFS (TECH BRIEF)</u></p> <p>Office which originated the publication (OPR):</p> <ol style="list-style-type: none"> <li>1. Headquarters:<br/>One record copy of each publication, including abstract, as located at</li> </ol>   | <p>* PERMANENT *<br/>RETIRE TO FRC 5 YEARS AFTER</p>  |

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|--------------|-------------|---|--|
|              |             | CASI (NASA's Center for AeroSpace Information).   | PUBLICATION. TRANSFER TO NARA WHEN 20 YEARS OLD.<br><DA: N1-255-94-1> (N 23-7)   |
|              |             | <p>2. Installations:<br/>Innovator's working papers (including patent) relating to the publication, such as feeder reports, background materials, interim reports, notes, correspondence, together with related showing inception, scope, and background.</p> <p>3. All other offices/copies.</p> <p>E. <u>TECHNICAL SUPPORT PACKAGE (TSP) FILES</u></p> <p>TSP files typically consist of basic technology that has not yet been transferred to a working/private-public organization. Files consist of a collection of technical documentation related to and describing aspects of the innovation reported in a NASA Tech Brief (Item D. above), including reproducible master copy (if any) and exclusive of duplicated copies of the TSP (if this is a patent, it is the basic documentation).</p> | <p>RETIRE TO FRC AT THE SAME TIME AS THE RELATED CASE FILES. DESTROY WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN REFERENCE VALUE CEASES OR WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 23-3)</p>                                 |
| 2131         |             | <p>F. <u>TU DISSEMINATION FILES</u></p> <p>Preliminary, progress, and final reports of publications prepared or issued by contractors operating a Regional Technology Transfer Center (RTTC); COSMIC; or TAC, in cooperation with NASA and other contractors assisting the Technology Utilization Program dissemination efforts, and related correspondence.</p> <p>1. Headquarters - TU Office/Program</p> <p>2. All other offices/copies.</p>   | <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 23-4)</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p>   |
| 2170         |             | <p>G. <u>NEW TECHNOLOGY FILES</u></p> <p>1. REPORTS</p> <p>These are new technology reports submitted to Technology Utilization Offices by in-house personnel or by contractors in accordance with the provisions of the contract's new technology clause (an annual report).</p> <p>(a) HQ and all other NASA installations.</p> <p>(b) JPL ONLY.</p>  | <p>RETIRE TO FRC 3 YEARS AFTER RECEIVED. DESTROY WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 23-2)</p> <p>SEE DISPOSITION ABOVE.</p> <p>RETIRE TO LOCAL RECORDS STORAGE 3 YEARS AFTER RECEIVED. TRANSFER TO JPL ARCHIVES WHEN 10 YEARS OLD. DESTROY WHEN NO LONGER NEEDED. THESE RECORDS CANNOT BE RETIRED TO AN FRC.<br/>&lt;DA: N1-255-94-1&gt;</p> |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# LEGAL AND TECHNICAL RECORDS

## SCHEDULE 2 (AFS 2000-2999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|--|---|
|              |             | <p>2. CONTRACT ADMINISTRATION OF CLAUSE</p> <p>Correspondence and documents, including copies of contracts, pertaining to administration of the new technology clause in contracts, especially to reporting and processing of innovations required to be reported.</p> <p>R GSFC ONLY - This item applies to the Patent Office.<br/>R HQ and all other NASA installations.</p> <p>H. <u>TU APPLICATIONS FILES</u></p> <p>1. APPLICATION TEAM</p> <p>Reports, correspondence, minutes of meetings, etc. produced by the application team in identifying public sector opportunities for adaptive engineering.</p> <p>2. APPLICATION ENGINEERING PROJECT CASE FILES</p> <p>These files are maintained by the Program Manager who is located at NASA HQ, Code C, and consist of RTOP summaries, interim reports; and summaries in narrative format.<br/><b>NOTE:</b> Case files that are located at the respective lead installation and should be retired under Schedule 8, R&amp;D Project Case Files as a PERMANENT record series.</p> <p>I. <u>SPINOFF FILES</u></p> <p>1. SPINOFF CASE FILE</p> <p>Files are maintained by year and consist of research files which contain clippings, correspondence with companies, product literature, and interview notes and any other similar documentation or related materials.</p> <p>2. SPINOFF PUBLICATION</p> <p>A. 1976 - 1990<br/>One original finished/published document.</p> <p>R 1976 - 1986<br/>R 1987 - 1990</p> <p>B. 1991 - Continuing</p> | <p>RETIRE TO FRC 1 YEAR AFTER CONTRACT CLOSEOUT.<br/>DESTROY 10 YEARS AFTER FINAL PAYMENT OR CLOSEOUT.<br/>&lt;DA: N1-255-94-1&gt; (N 23-1)</p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>RETIRE TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>TRANSFER TO NARA AS CITED BELOW:</p> <p>TRANSFER JANUARY 1, 1997.<br/>TRANSFER JANUARY 1, 2000.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>TRANSFER ONE COPY ANNUALLY TO NARA.<br/>&lt;DA: N1-255-94-1&gt;</p> |
| 2110         |             | <b>Programs and Policies</b>   | Contact Center Records Mgr.   |
| 2120         |             | <b>Flash Sheets</b>  | Contact Center Records Mgr.   |
| 2121         |             | <b>Appraisal and Evaluating</b>  | Contact Center Records Mgr.   |
| 2130         |             | <b>Tech Briefs</b>   | Contact Center Records Mgr.   |
| 2131         |             | <b>Tech Briefs Distribution</b>  | Contact Center Records Mgr.   |
| 2140         |             | <b>Patent Statements</b>   | Contact Center Records Mgr.   |
| 2150         |             | <b>Reporting Industrial Applications</b>   | Contact Center Records Mgr.   |

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|--------------|-------------|---|--|
| 2160         |             | Information and Application Centers   | Contact Center Records Mgr.  |
| 2170         |             | New Technology Management   | Contact Center Records Mgr.  |
| 2180         |             | Technology Transfer   | Contact Center Records Mgr.  |
| 2190         |             | Export Control  | Contact Center Records Mgr.  |
| 2200         |             | Scientific and Technical Information  | Contact Center Records Mgr.  |
| 2210         |             | External Release of NASA Software   | Contact Center Records Mgr.  |
| 2220         |             | Publications Program / STI Databases  | (see below)  |
| 2220         | 8           | <p><b>SCIENTIFIC AND TECHNICAL INFORMATION</b><br/><b>PUBLICATIONS AND MATERIALS</b></p> <p>A. <u>PUBLICATIONS AND MATERIALS MAINTAINED BY OPR</u></p> <p>Published and processed documents prepared by NASA, such as technical reports, historical volumes, and informational materials.</p> <ol style="list-style-type: none"> <li>The office of primary responsibility will maintain one copy of each published or processed document together with related background papers reflecting a basis for the issuance or that contribute to the content of the publication, including coordination papers and comments.<br/>NOTE: It is the responsibility of the OPR to send/submit one record copy to CASI. See Sub-element C. of this Item.</li> <li>Working papers such as notes, rough drafts, background reports, and other such papers (exclusive of those described under Item 1.)</li> <li>All other offices/printed copies.</li> </ol> <p>B. <u>PUBLICATIONS AND MATERIALS NOT HELD AT CASI</u> (CENTER FOR AEROSPACE INFORMATION)</p> <p>Record copy if maintained in duplicating or distribution unit, i.e., Education Office; Public Affairs; Mission Office(s), of each pamphlet, report, leaflet, poster, chart, booklet, regulation or similar or other published or processed documents, or the last manuscript report if not published.</p> <ol style="list-style-type: none"> <li>Record copy with the supporting papers which document the inception, scope, and purpose. (This item does not cover copies and related material retained in originating office.)</li> <li>All other office/copies.</li> </ol> <p>C. <u>PUBLICATIONS AND MATERIALS HELD/MAINTAINED AT CASI</u></p> <p>Record copy of scientific and technical publications, such as Technology Surveys, Technical Reports, Technical Notes, Technical Memoranda, Contractor Reports, and Special Publications. These are examples only and records should not be limited to this selection.</p> <ol style="list-style-type: none"> <li>Office of primary responsibility (CASI).</li> </ol> <p>(a) Microfiche copies</p> | <p>RETIRE TO FRC AT END OF SECOND FISCAL YEAR AFTER DOCUMENT IS PUBLISHED.<br/>DESTROY WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 1-28)</p> <p>DESTROY 1 YEAR AFTER DOCUMENT IS PUBLISHED.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN REFERENCE VALUE CEASES.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>TRANSFER TO NARA WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN SUPERSEDED, OBSOLETE, NO LONGER NEEDED, OR WHEN 3 YEARS OLD, WHICHEVER IS LATER<br/>&lt;DA: N1-255-94-1&gt;</p> |

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|--------------|-------------|---|---|
|              |             | <p>(1) MASTER</p> <p>One silver original and one diazo copy.<br/>(Starting - Post 1993)</p> <p>(2) ALL OTHER COPIES</p> <p>(b) Paper copy.</p> <p>(1) Pre-1958</p> <p>(2) 1958 - 1978 (That have not been microfilmed.)</p> <p>(3) 1979 - 1993 (That have not been microfilmed.)</p> <p>(4) 1994 to present that have not been microfilmed.</p> <p>(5) Paper copies that have been microfilmed dated 1958 to present.</p>       | <p>* PER MANENT *</p> <p>TRANSFER TO NARA WITHIN 1 YEAR AFTER FILMING<br/>&lt;DA: N1-255-94-1&gt; (N 23-7)</p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN REFERENCE VALUE CEASES. RECORDS CANNOT BE RETIRED TO AN FRC.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *</p> <p>A SEPARATE SF-115 MUST BE SUBMITTED TO NARA AFTER COMPLETION OF COMPREHENSIVE INVENTORY IN FY-1996.<br/>&lt;DA: N1-255-94-1</p> <p>* PERMANENT *</p> <p>TRANSFER TO NARA WHEN 25 YEARS OLD (2003) OR SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *</p> <p>TRANSFER TO NARA WHEN 10 YEARS OLD (2003) OR SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *</p> <p>TRANSFER TO NARA WHEN 1 YEAR OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTORY (AFTER VERIFICATION OF MICROFILM) WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 60 YEARS OLD, WHICHEVER IS SOONER. RECORDS CANNOT BE RETIRED TO AN FRC.<br/>&lt;DA: N1-255-94-1&gt;</p> |
|              |             | <p>D. <u>DOCUMENT AVAILABILITY AUTHORIZATION (DAA) RECORDS</u></p> <p>1. Papers submitted for approval of and released through scientific and technical organizations EXTERNAL to NASA.</p> <p>(a) Documentation consists of the original paperwork submitted for each paper:</p> <p>R FF427, "NASA Scientific and Technical Document Availability Authorization (DAA)";</p> <p>R Abstract of the paper cited on the FF427;</p> | <p>DESTROY 2 YEARS AFTER MEETING OR PUBLICATION DATE CITED ON THE FF427 (DAA FORM) OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p>  |
|              |             | <u>JSC ONLY</u>   |   |

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|--------------|-------------|---|--|
|              |             | <p>In addition to the above documentation, JSC authors are required to provide:</p> <p>JSC Form 548, "Approval and Funding for Technical Presentations, Technical Papers, and Journal Articles for External Audiences."</p> <p>(b) All other copies/installations.</p> <p>2. Papers submitted for publication in the NASA Scientific and Technical Reports Series.</p> <p>(a) Records document both installation and NASA Headquarters approval of reports by civil servant and contractor authors for publication in the NASA STI Report Series. Documentation consists of:</p> <p>R FF427 (DAA);</p> <p>R Report Documentation Page (SF 298); or an Abstract of; or, an Introduction to the Report;</p> <p><u>JSC ONLY</u></p> <p>In addition to the above, JSC authors (as opposed to a contractor author) are required to provide:</p> <p>R JSC Form 155, "Processing Scientific &amp; Technical Publications."</p> <p>(b) All other copies/installations.</p> <p>E. <u>AUTHOR'S FILES/RECORDS</u></p> <p>1. <u>AUTHOR'S WORKING PAPERS</u></p> <p>Working papers relating to the publication, such as feeder reports, background materials, interim reports, notes, correspondence, and related papers.</p> <p>2. <u>SPECIAL AUTHOR FILES (LeRC)</u></p> <p>(a) Edited manuscript copy, galley proofs, blue lines, and dummy layouts for each technical report.</p> <p>(b) Camera-ready copy of text and figures and related negatives, supporting papers which document the inception, scope, and purpose, including editorial notes.</p> | <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE USE OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY NO LATER THAN 5 YEARS AFTER DATE OF PUBLICATION OR WHEN 6 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE USE OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 15 YEARS OLD<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY 20 YEARS AFTER SEPARATION, TRANSFER, OR TERMINATION OF EMPLOYEE.<br/>&lt;DA: N1-255-94-1&gt;</p> |
|              |             | F. <u>EDITED MANUSCRIPT FILES</u>   |  |

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|--------------|-------------|--|---|
|              |             | <p>1. HQ STI FILES (Code J)</p> <p>(a) Edited manuscript copy, galley proofs, blue lines, and dummy layouts for each publication.</p> <p>(b) Camera-ready copy of Special publications, including original art, figures, cover design, and title page.</p> <p>2. E-FILES (LeRC STI FILES)</p> <p>(a) Edited manuscript copy, galley proofs, blue lines, and dummy layouts for each technical report.</p> <p>(1) 1981-1983</p> <p>(2) 1984-1989</p> <p>(3) 1990-1993</p> <p>(4) 1994 and Continuing.</p> <p>(b) Camera-ready copy of text, figures, related negatives, and supporting papers which document the inception, scope, and purpose, including editorial notes.</p> <p>(1) 1981-1983</p> <p>(2) 1984-1989</p> <p>(3) 1990-1993</p> <p>(4) 1994 and Continuing.</p> <p>G. <u>OTHER STI PUBLICATION FILES</u></p> <p>1. Other locally published reports NOT included in the "formal" series list above.</p> | <p>DESTROY WHEN 2 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>TRANSFER TO FRC 6 MONTHS AFTER DOCUMENT IS PUBLISHED. DESTROY WHEN 3 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY JANUARY 1996.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY JANUARY 1997.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY JANUARY 1998.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY JANUARY 1996.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY JANUARY 1999.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY JANUARY 2003.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN REFERENCE VALUE CEASES.<br/>&lt;DA: N1-255-94-1&gt; (N 23-8)</p> |
|              |             | <p>2. LEWIS - Locally published Reports NOT included in FORMAL series.</p> <p>(a) B-FILES</p> <p>(1) Edited manuscript copy, galley proofs, blue lines, and dummy layouts for each technical report.</p> <p>(2) Camera-ready copy of text, figures, related negatives, and supporting papers, which document the inception, scope, and purpose, including editorial notes.</p>   | <p>DESTROY 2 YEARS AFTER PUBLICATION.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p>   |

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|--------------|-------------|--|---|
|              |             | <p>(b) RECURRING B-FILES</p> <p>(1) See Description in a.(1) above.</p> <p>(2) See Description in a.(2) above.</p> <p>(c) PROJECT-RELATED FILES</p> <p>(1) See Description in a.(1) above.</p> <p>(2) See Description in a.(2) above.</p> <p>H. <u>ALL OTHER OFFICES/COPIES</u></p>  | <p>DESTROY 2 YEARS AFTER PROGRAM TERMINATION, CANCELLATION, COMPLETION, UPON FACILITY CLOSURE, OR WHEN 5 YEARS OLD, WHICHEVER IS LATER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY 10 YEARS AFTER PROGRAM TERMINATION, CANCELLATION, COMPLETION, UPON FACILITY CLOSURE, OR WHEN 15 YEARS OLD, WHICHEVER IS LATER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY 2 YEARS AFTER PROJECT TERMINATION, CANCELLATION, OR COMPLETION.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN REFERENCE VALUE CEASES OR WHEN 20 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN REFERENCE VALUE CEASES OR WHEN NO LONGER NEEDED.<br/>&lt;DA: N1-255-94-1&gt;</p> |
| 2220         | 9           | <p><b>STI DATABASE ACCESSION SERIES — ELECTRONIC</b></p> <p>A. <u>STAR, IAA, LSTAR, CSTAR</u></p> <p>These files consist of documentation and material related to the STI databases: Scientific and Technical Aerospace Reports (STAR), International Aerospace Abstracts (IAA), Limited Scientific and Technical Aerospace Reports (LSTAR). These are the on-line bibliographic files to the NASA STI accessioned series.</p> | <p>* PERMANENT *</p> <p>PRODUCE IN TAPE FORMAT AND TRANSFER TO NARA EVERY 5 YEARS BEGINNING IN 1995.<br/>&lt;DA: N1-255-94-1&gt;</p>  |
|              |             | <p>B. <u>RECON/ARIN</u></p> <p>RECON, ARIN, or any other library management or bibliographic information system currently supporting CASI or any other NASA libraries, or any that will be developed EXCLUDING full text or image. (This is RESTRICTED to NASA only and does not include other organizations full-text databases, i.e., on-line newspapers, or reference documents.)</p>                                       | <p>DELETE WITH RELATED RECORDS OR WHEN THE AGENCY DETERMINES THAT THEY ARE NO LONGER NEEDED FOR ADMINISTRATIVE, LEGAL, AUDIT, OR OTHER OPERATIONAL PURPOSES, WHICHEVER IS LATER.<br/>[GRS 20-9]</p>   |

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|--------------|-------------|--|---|
|              |             | C. <u>IAA / IAA ALTERNATE FILES</u><br><br>These files consist of electronic records and documentation related to the STI databases. [International Aerospace Abstracts (IAA)]   | DESTROY WHEN REFERENCE VALUE OR AGENCY NEED CEASES.<br><DA: N1-255-94-1>  |
| <b>2240</b>  |             | <b>Library Program</b>   | (see below)   |
| 2240         | <b>10</b>   | <b>FINDING AIDS - LIBRARY</b><br><br>Finding aids for identification, retrieval, or use of records.  | DISPOSE OF ACCORDING TO THE INSTRUCTIONS COVERING THE RELATED RECORDS.<br><DA: N1-255-94-1> (N 19-14)                       |
| <b>2242</b>  |             | <b>GALAXIE (NASA-wide Library System, ARIN replacement)</b>  | Contact Center Records Mgr.   |
| <b>2250</b>  |             | <b>Exchange Program</b>  | Contact Center Records Mgr.   |
| <b>2252</b>  |             | <b>Domestic Exchanges</b>  | Contact Center Records Mgr.   |
| <b>2254</b>  |             | <b>International Exchanges</b>   | Contact Center Records Mgr.   |
| <b>2260</b>  |             | <b>User Services</b>   | Contact Center Records Mgr.   |
| <b>2262</b>  |             | <b>Announcement / Current Awareness</b>  | Contact Center Records Mgr.   |
| <b>2264</b>  |             | <b>Document Delivery</b>   | Contact Center Records Mgr.   |
| <b>2268</b>  |             | <b>Translations</b>  | Contact Center Records Mgr.   |
| <b>2270</b>  |             | <b>Document Operations</b>   | Contact Center Records Mgr.   |
| <b>2272</b>  |             | <b>Abstracting / Indexing</b>  | Contact Center Records Mgr.   |
| <b>2274</b>  |             | <b>Distribution / Availability</b>   | Contact Center Records Mgr.   |
| <b>2276</b>  |             | <b>Thesaurus</b>   | Contact Center Records Mgr.   |
| <b>2280</b>  |             | <b>Specifications and Standards</b>  | Contact Center Records Mgr.   |
| <b>2290</b>  |             | <b>Program Office Projects</b>   | Contact Center Records Mgr.   |
| <b>2300</b>  |             | <b>Management Information Systems</b>  | (see below)   |
| 2300         | <b>11</b>   | <b>MANAGEMENT PROJECT FILES</b><br><br>Surveys, analytical studies, background papers, notes, data, interim reports, final reports, and relating papers pertaining to administrative functions; e.g., appraisal of microfilming proposals, evaluating need of additional filing equipment, reviewing utilization of office machinery, etc.   | TRANSFER TO FRC 3 YEARS AFTER COMPLETION OR TERMINATION OF PROJECT. DESTROY WHEN 7 YEARS OLD.<br><DA: N1-255-94-1> (N 1-31) |
| <b>2305</b>  |             | <b>General Policies and Procedures</b>   | Contact Center Records Mgr.   |
| <b>2310</b>  |             | <b>Information Resources Management</b>  | (see below)   |
| 2310         | <b>12</b>   | <b>IRM (INFORMATION RESOURCES MANAGEMENT) FILES</b><br><br>A. <u>IRM FILES - GENERAL</u><br><br>Records in this series consist of correspondence, feeder reports that are summarized into other reports, background documentation, or other related materials.<br><br>B. <u>SELF-ASSESSMENTS</u><br><br>NASA Annual self-assessment documentation concerning reviews of IRM policy compliance, responsibilities, and practices. Included are associated correspondence, directives, guides, surveys, studies, summary reports, actions plans and progress reports, and major information system inventories. | DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br><DA: N1-255-94-1>                                |

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|--------------|-------------|---|--|
|              |             | <p>1. Headquarters</p> <p>(a) Summary reports as submitted by Installation.</p> <p>(b) Agency level summary reports as prepared by OPR.</p>   | <p>DESTROY WHEN 7 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 7 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p>  |
|              |             | <p>2. Installations</p> <p>(a) Reports submitted to Headquarters on self-assessments.</p> <p>(b) OPR responsible for preparing and submitting reports to Headquarters, including background data used for summary report.</p> <p>C. <u>TRIENNIAL REVIEW FILES</u></p> <p>Reports and compliance certifications required by General Services Administration (GSA) concerning reviews of IRM practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.</p> <p>1. Headquarters - OPR</p> <p>2. Installations - OPR</p> <p>D. <u>IRM LONG-RANGE PLANS/REPORTS</u></p> <p>Documents involving the establishment of schedules to achieve NASA's long range IRM objectives, the formulation of new concepts and requirements in IRM for planning purposes and similar matters. Included are IRM long range plans, forecasts, reports, documents reflecting the evolution of these plans/forecasts, and documents contributing to the development of such plans or forecasts.</p> <p>1. OPR - NASA Headquarters (Code JT)<br/>(Documentation may include but is not limited to the IRM L-R Plan Call Letter; incoming documentation from the contributing office; incoming external documents.)</p> <p>2. Contributing Offices (Headquarters and field installations).</p> <p>3. All other office/copies.</p> | <p>DESTROY WHEN 8 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 8 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 7 YEARS OLD.<br/>[GRS 16-11]</p> <p>DESTROY WHEN 7 YEARS OLD.<br/>[GRS 16-11]</p> <p>DESTROY BACKUP<br/>DOCUMENTATION 1 YEAR<br/>AFTER COMPLETION OF THE<br/>IRM LONG RANGE PLAN.<br/>RETAIN FINAL IRM L-R PLAN<br/>ON-SITE FOR 10 YEARS AND<br/>THEN DESTROY.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN 3 YEARS OLD<br/>OR WHEN SUPERCEDED,<br/>WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER<br/>NEEDED OR WHEN 2 YEARS<br/>OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> |
|              |             | <p>E. <u>IRM STRATEGIC PLAN</u> (5 Year Plan/Updated Annually)</p> <p>Records consist of IRM strategies that are common to NASA that support the Agencies missions and goals by providing agencywide perspectives and directions for NASA's IRM-related program initiatives. The plan includes</p>  |  |

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|--------------|-------------|---|---|
|              |             | <p>IRM goals and objectives, key milestones within a three-to-five year timeframe that defines the contribution of information resources to the accomplishment of NASA's missions. Records include but are not limited to: Meeting minutes; IRM documentation; final publication or proposed "Strategic Plan"</p> <ol style="list-style-type: none"> <li>1. OPR - NASA Headquarters</li> <li>2. Contributing Office (Headquarters and field installations).</li> <li>3. All other office/copies.</li> </ol> <p>F. <u>OMB BULLETINS (IRM PLANS - ANNUAL)</u></p> <p>Documentation consists of OMB Bulletins, background material, supporting documentation and information which may include but are not limited to records concerning: security; ICB (Information Collection Budget); Long-Range Plan Strategic Overview; Telecommunication Plan; etc.</p> <ol style="list-style-type: none"> <li>1. OPR - NASA Headquarters</li> <li>2. Contributing Office (Headquarters and field installations), and all other offices/copies.</li> </ol> | <p>RETAIN ON-SITE AND DESTROY WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>RETAIN ON-SITE AND DESTROY WHEN 6 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE, OR WHEN 3 YEARS OLD, WHICHEVER IS LONGER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>RETAIN ON-SITE AND DESTROY WHEN 3 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 2 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> |
| <b>2314</b>  |             | <b>Documentation Management Systems</b>   | Contact Center Records Mgr.   |
| <b>2320</b>  |             | <b>Presentations and Reviews (Management)</b>   | Contact Center Records Mgr.   |
| <b>2330</b>  |             | <b>Planning and Scheduling Systems</b>  | Contact Center Records Mgr.   |
| <b>2332</b>  |             | <b>NASA PERT and Companion Cost</b>   | Contact Center Records Mgr.   |
| <b>2334</b>  |             | <b>Line of Balance</b>  | Contact Center Records Mgr.   |
| <b>2336</b>  |             | <b>Milestone Systems</b>  | Contact Center Records Mgr.   |
| <b>2340</b>  |             | <b>Project Status Reporting</b>   | Contact Center Records Mgr.   |
| <b>2350</b>  |             | <b>AIM Program</b>  | Contact Center Records Mgr.   |
| <b>2360</b>  |             | <b>Government Information Locator Service (GILS) / Electronic Data Interchange (EDI)</b>  | Contact Center Records Mgr.   |
| <b>2400</b>  |             | <b>Automatic Data Processing (ADP) Management</b>   | (see below)   |
| 2400         | <b>13</b>   | <p><b>AUTOMATED DATA PROCESSING (ADP) RECORDS — GENERAL</b></p> <p>A. <u>COMPUTER READABLE MEDIA - GENERAL</u></p> <p>Electronic media created in the areas of accounting, inventories, budget, library type indices, administration, and are used in connection with the accumulation of operating and reporting data of activities. Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized by NARA for destruction.</p>  | <p><u>IF PAPER RECORDS EXIST, AND THE ELECTRONIC MEDIA REPRESENTS A DUPLICATION, RELEASE MEDIA FOR REUSE NOT LATER THAN 30 DAYS AFTER THE NEED FOR IT HAS BEEN MET AND THAT IT WILL</u></p>   |

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|--------------|-------------|--|--|
|              |             |  | <p>NOT BE REQUIRED FOR FURTHER USE.<br/>&lt;DA: N1-255-94-1&gt; (N 27-1)</p> <p><u>IF PAPER RECORDS DO NOT EXIST</u>, MAINTAIN DATABASE, DELETE/DESTROY RECORDS AFTER THE EXPIRATION OF THE RETENTION PERIOD AUTHORIZED FOR THE HARD COPY TYPE RECORD, OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. THE DATABASE STORAGE MEDIA CAN BE RELEASED FOR REUSE WHEN 5 YEARS OLD.<br/>[GRS 20-3b(2)]</p>   |
|              |             | <p>B. <u>WORD PROCESSING FILES - GENERAL</u></p> <p>Documents such as letters, messages, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppies.</p> <ol style="list-style-type: none"> <li>When used to produce hard copy which is maintained in organized files.</li> <li>When maintained only in electronic form, and duplicate the information in and take the place of records that would otherwise be maintained in hard copy providing that the hard copy has been authorized for destruction by the GRS or an approved SF 115.</li> </ol> <p>C. <u>ADMINISTRATIVE DATA BASES</u></p> <ol style="list-style-type: none"> <li>GENERAL <p>Data bases that support administrative or housekeeping functions, containing information derived from hard copy records authorized for destruction by the GRS or an approved SF 115, if the hard copy records are maintained in organized files, and hard-copy printouts from these data bases created for short-term administrative purposes.</p> </li> <li>ADMINISTRATIVE COMPUTER SYSTEMS MEDIA <p>This series consists of administrative and/or financial programming software, and/or data that is used for day-to-day operations.</p> </li> </ol> | <p>DELETE WHEN NO LONGER NEEDED FOR UPDATING, REVISION, OR TO CREATE A HARD COPY.<br/>[GRS 20-13]</p> <p>DELETE AFTER THE EXPIRATION OF THE RETENTION PERIOD AUTHORIZED FOR THE HARD COPY BY THE GRS OR AN APPROVED SF 115, OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER<br/>[GRS 20-3b(2)]</p> <p>DELETE INFORMATION IN THE DATA BASE WHEN NO LONGER NEEDED.<br/>[GRS 20-3b(1)]</p> <p>MEDIA IS BACKED-UP DAILY WITH STORAGE OF MEDIA ON-SITE FOR 2 WEEKS AND THEN RELEASED FOR REUSE IN THE COMPUTER OPERATIONS CENTER. (BACKUP MEDIA ARE ROTATED AND MAINTAINED OFFSITE.)<br/>[GRS 20-1] (N 27-9)</p> |

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|--------------|-------------|--|--|
|              |             | <p>D. <u>ELECTRONIC SPREADSHEETS</u></p> <p>Spreadsheets generated to support administrative functions generated by an individual as background materials or feeder reports or that are recorded on electronic media, i.e., hard/floppy disks.</p> <ol style="list-style-type: none"> <li>When used to produce hard copy that is maintained in organized files.</li> <li>When maintained in electronic form only.</li> </ol>   | <p>DELETE WHEN NO LONGER NEEDED TO UPDATE OR PRODUCE A HARD COPY.<br/>[GRS 20-15a]</p> <p>DELETE AFTER THE EXPIRATION OF THE RETENTION PERIOD AUTHORIZED FOR THE HARD COPY. IF THE ELECTRONIC VERSION REPLACES HARD COPY RECORDS WITH DIFFERING RETENTION PERIODS, AND AGENCY SOFTWARE DOES NOT READILY PERMIT SELECTIVE DELETION, DELETE AFTER THE LONGEST RETENTION PERIOD HAS EXPIRED.<br/>[GRS 20-15b]</p> |
| <b>2410</b>  |             | <b>Policies and Procedures</b>   | (see below)  |
| 2410         | <b>14</b>   | <p><b>AUTOMATED DATA PROCESSING (ADP) RECORDS/FILES</b></p> <p>A. <u>ANNUAL ADP PLANS</u></p> <p>Developed by the installations, these plans are submitted to the Information Resources Management Policy Office (Code JTD) at Headquarters for review. The plan is consolidated into a summary report and used for active reference.</p> <ol style="list-style-type: none"> <li>Office of functional responsibility (NASA HQ).</li> <li>All other offices/copies.</li> </ol> <p>B. <u>SECURITY PLANS</u></p> <p>In accordance with the Computer Security Act of 1987 (P.L. 100-235) annual plans are required to be prepared and submitted to NIST and NSA for comment regarding computer systems that are identified containing sensitive information. Each system plan includes a basic description of the purpose, environment, and sensitivity of the system and the security measures intended to protect the system and its data. Plans are not statements of agency security policy. They indicate security requirements and how the agency intends to meet those requirements.</p> <ol style="list-style-type: none"> <li>Office of functional responsibility (NASA HQ).</li> </ol> | <p>RETIRE TO FRC 5 YEARS AFTER THE YEAR TO WHICH THE PLANS PERTAIN. DESTROY WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 1-43)</p> <p>DESTROY WHEN ACTIVE REFERENCE VALUE CEASES OR WHEN 3 YEARS OLD, WHICHEVER IS LATER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>RETIRE TO FRC 3 YEARS AFTER</p>  |

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|--------------|-------------|---|--|
|              |             | (NOTE: This is agency-wide responsibility)<br><br>2. Installations and all other offices/copies.  | YEAR TO WHICH PLAN PERTAINS. DESTROY WHEN 10 YEARS OLD.<br><DA: N1-255-94-1><br><br>DESTROY WHEN ACTIVE REFERENCE VALUE CEASES OR WHEN 3 YEARS OLD, WHICHEVER IS LATER.<br><DA: N1-255-94-1>   |
|              |             | C. <u>PROGRAMS - SYSTEMS</u><br>Original programs, computer media, and documents containing definitions of the system(s) including functional requirements, data requirements, system/subsystem specifications, requests for the system, and authorizing directives.<br><br>1. For a disapproved proposed system.<br><br>2. For an approved system for which all related computer readable data files are authorized for disposal.<br><br>3. For an approved system for which any related computer readable data file is not authorized for disposal.<br><br>D. <u>PROGRAMS AND DOCUMENTATION</u><br>Programs and documentation which include automatic records, run books, descriptions, flow charts, and source files.<br><br>1. On-going programs.<br><br>2. Terminated programs.<br><br>3. Documentation - Data systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that | RETIRE TO FRC 1 YEAR AFTER FINAL ACTION. DESTROY 10 YEARS AFTER FINAL ACTION.<br><DA: N1-255-94-1><br>(N 27-7, 27-1 {78})<br><br>RETIRE TO FRC 1 YEAR AFTER DISCONTINUANCE OF THE SYSTEM. DESTROY 10 YEARS AFTER DISCONTINUANCE.<br>[GRS 20]<br><br>RETAIN WITH RELATED DATA FILES. DESTROY IN ACCORDANCE WITH RELATED FILES.<br><DA: N1-255-94-1><br><br>DESTROY 1 YEAR AFTER MODIFICATION, REPLACEMENT, OR DISCONTINUANCE OF PROGRAM. RETIRE TO FRC WHEN 2 YEARS OLD IF NO MODIFICATION OR REPLACEMENT OCCURS. DESTROY WHEN 12 YEARS OLD.<br>[GRS 20] (N 26-7)<br><br>DESTROY 1 YEAR AFTER LAST USE UNLESS COGNIZANT OFFICE VERIFIES A NEED TO RETAIN THE RECORD LONGER. IF RETENTION IS REQUIRED, RETIRE TO FRC WHEN 1 YEAR OLD AND DESTROY WHEN 10 YEARS OLD.<br>[GRS 20]<br><br>DESTROY OR DELETE WHEN SUPERSEDED OR OBSOLETE, OR UPON AUTHORIZED |

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|--|--|---|---|
|  |  | has been authorized for disposal in an approved NASA records schedule, EXCLUDING documentation relating to any unscheduled master file or data base or relating to any master file or data base scheduled for transfer to NARA.   | DESTRUCTION OF RELATED MASTER FILE OR DATABASE, OR UPON THE DESTRUCTION OF THE OUTPUT OF THE SYSTEM IF THE OUTPUT IS NEEDED TO PROTECT LEGAL RIGHTS, WHICHEVER IS LATEST.<br>[GRS 20-11a] |
| E. <u>IRM-APR/DPA DOCUMENTATION (Agency Procurement Request/Delegation of Procurement Authority)</u> |  |   | SEE PAGE NOTE BELOW   |
|  | 1. GENERAL POLICY FILES  | General policy files contain information/documentation on agency policy for assigning staff responsibilities, changes in staff, and other related administrative matters concerning the handling and processing of APR/DPA's.   |   |
|  | (a) OPR - NASA Headquarters  |   | HANDLE AS PERMANENT<br>PENDING RETENTION<br>APPROVAL  |
|  | (b) All other office/copies.                                       |   | HANDLE AS PERMANENT<br>PENDING RETENTION<br>APPROVAL  |
|  | 2. NASA CASE FILES   | Case files consist of documentation which includes, but is not limited to, Agency Procurement Request (APR); Delegation of Procurement Authority (DPA); FIP Resources Decision Document (FRDD); Justification for Other than Full and Open Competition (JOFOC); re-delegation of authority; management presentations; and, reports (6-month, annual, and contract award). This material documents the cradle to grave process for information resources acquisitions. |   |
|  | (a) OPR - NASA HEADQUARTERS  |   |   |
|  | (1) Active APR Files   |   | HANDLE AS PERMANENT<br>PENDING RETENTION<br>APPROVAL  |
|  | (i) If NO delegation authority is received.                        |   |   |
|  | (ii) Delegation authority received.                                |   |   |
|  | (2) Delegation of Authority Files                                  |   | HANDLE AS PERMANENT<br>PENDING RETENTION<br>APPROVAL  |
|  | (i) If APR/DPA process is completed.                               |   |   |
|  | (ii) If program or request is cancelled or terminated prematurely. |   |   |
|  | (3) Contract Award Files   |   | HANDLE AS PERMANENT<br>PENDING RETENTION<br>APPROVAL  |
|  | (4) Expired, Cancelled, or Terminated Case Files                   |   | HANDLE AS PERMANENT<br>PENDING RETENTION<br>APPROVAL  |
|  | (i) PRIOR to contract award.                                       |   |   |
|  | (ii) AFTER contract award.   |   |   |
|  | (b) INSTALLATIONS  |   | HANDLE AS PERMANENT<br>PENDING RETENTION  |
|  | (1) Active APR Files   |   |   |

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|--------------|-------------|--|---|
|              |             | (i) If NO delegation authority is received.  | APPROVAL  |
|              |             | (ii) Delegation authority received.  |   |
|              |             | (2) Contract Award Files   |   |
| 2415         |             | <b>Computer Program Documentation</b>  | Contact Center Records Mgr.   |
| 2420         |             | <b>Data Reduction and Interpretation</b>   | (see below)   |
| 2420         | 15          | <b>COMPUTER/ELECTRONIC MEDIA - GENERAL</b><br><br>A. <u>FILES TO CREATE, USE, OR MAINTAIN MASTER FILES</u><br><br>1. Electronic files created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files/records.<br><br>2. Electronic files used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.<br><br>3. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.<br><br>B. <u>INPUT/SOURCE FILES</u><br><br>1. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as needed for signatures) and not previously scheduled for permanent retention.<br><br>2. Electronic records, except as noted in item B.3., entered into the system during an update process, and not required for audit or legal purposes.<br><br>3. Electronic records received from another agency and used as input/source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreements, or records created by another agency in response to the specific information needs of the receiving agency. | DELETE/DESTROY WHEN NO LONGER NEEDED.<br>[GRS 20-1a] (N 27-2)<br><br>DELETE AFTER INFORMATION HAS BEEN TRANSFERRED TO THE MASTER FILE AND VERIFIED.<br>[GRS 20-1b]<br><br>DELETE/DESTROY WHEN NO LONGER NEEDED FOR ADMINISTRATIVE, LEGAL, AUDIT, OR OTHER OPERATIONAL PURPOSES<br>[GRS 20-1c]<br><br>DESTROY AFTER THE INFORMATION HAS BEEN CONVERTED TO AN ELECTRONIC MEDIUM AND VERIFIED, OR WHEN NO LONGER NEEDED TO SUPPORT THE RECONSTRUCTION OF, OR SERVE AS THE BACKUP TO, THE MASTER FILE, WHICHEVER IS LATER.<br>[GRS 20-2a] (N 27-8)<br><br>DELETE WHEN DATA HAVE BEEN ENTERED INTO THE MASTER FILE OR DATA BASE AND VERIFIED, OR WHEN NO LONGER REQUIRED TO SUPPORT RECONSTRUCTION OF, OR SERVE AS BACK-UP TO, A MASTER FILE OR DATA BASE, WHICHEVER IS LATER.<br>[GRS 20-2b]<br><br>DELETE WHEN DATA HAVE BEEN ENTERED INTO THE MASTER FILE OR DATA BASE AND VERIFIED, OR WHEN NO LONGER NEEDED TO SUPPORT RECONSTRUCTION OR, OR SERVE AS BACK UP TO, THE |

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|--------------|-------------|--|--|
|              |             | <p>4. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or data base.</p> <p>C. <u>MASTER FILES</u> (INTERIM AND FINAL)</p> <p>1. Media containing detailed or summary transaction data cumulative through the last updating or merger process, or containing outstanding transaction items, or totals representing the current status of a record. Interim media are used as input to the next subsequent run that produces a new updated interim or final master.</p> <p>2. Final master media containing detailed or summary data or cumulative transactions under a program, account, etc.</p> <p>3. Master files that relate to administrative functions and that:</p> <p>R Replace, in whole or in part, administrative records scheduled for disposal under one or more items in Schedules 1 through 9; and,</p> <p>R Consist only of the same information as is contained in all or portions of the disposable records it replaces or duplicates;</p> <p>EXCLUDING those that replace or duplicate the following items:</p> <p>Æ Schd. 1-111; 1-127; 1-126c;</p> <p>Æ Schd. 2-19H;</p> <p>Æ Schd. 3-1; 3-51b; 3-47a;</p> <p>D. <u>SUMMARIZED INFORMATION DATA FILES</u></p> <p>Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under an approved item or is authorized for deletion by an approved disposition (SF 115). The following data files may not be destroyed before securing NARA approval. Data files EXCLUDED from the above disposition are those that were created:</p> <p>R To allow public access to the data; or</p> <p>R From a master file or database that is unscheduled, that was scheduled as permanent but no longer exists or can no longer be accessed.</p> | <p>MASTER FILE OR DATA BASE, WHICHEVER IS LATER.<br/>[GRS 20-2c]</p> <p>DELETE AFTER THE NECESSARY DATA HAVE BEEN INCORPORATED INTO A MASTER FILE.<br/>[GRS 20-2d] (N 26-1)</p> <p>RELEASE MEDIA FOR REUSE AFTER PREPARATION OF THIRD GENERATION. RELEASE NO EARLIER THAN 6 MONTHS AFTER GENERATION OF PRECEDING INTERIM MEDIA.<br/>[GRS 20] (N 27-4)</p> <p>RELEASE FOR REUSE NO EARLIER THAN 6 MONTHS AFTER PREPARATION AND CLEARANCE OF REPORTS CONTAINING DATA ON THE MEDIA.<br/>[GRS 20] (N 27-5)</p> <p>DELETE AFTER THE EXPIRATION OF THE RETENTION PERIOD AUTHORIZED FOR THE DISPOSABLE HARD COPY FILE OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER.<br/>[GRS 20-3(a)&amp;(b)]</p> <p>DELETE WHEN NO LONGER NEEDED FOR ADMINISTRATIVE, LEGAL, AUDIT, OR OTHER OPERATIONAL PURPOSES.<br/>[GRS 20-4]</p> |
|              |             | <p>E. <u>EXTRACTED/REDUCED INFORMATION</u></p> <p>1. GENERAL</p> <p>Electronic records/files consisting solely of records extracted from a single master file or database that is disposable under an approved disposition.</p>  | <p>DELETE WHEN NO LONGER NEEDED FOR ADMINISTRATIVE, LEGAL, AUDIT, OR OTHER OPERATIONAL PURPOSES.<br/>[GRS 20-5]</p>  |

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# LEGAL AND TECHNICAL RECORDS

## SCHEDULE 2 (AFS 2000-2999)

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|--------------|-------------|--|---|
|              |             | <p>The following extracts MAY NOT be destroyed before securing NARA approval. (For "print" and "technical reformat" files see items below.)<br/>Extracts EXCLUDED from the above disposition are those:</p> <p>R Produced to allow public access to the data; or,</p> <p>R Produced from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists, or can no longer be accessed; or</p> <p>R Produced by an extraction process which changes the informational content of the source master file or database.</p> <hr/> <p>2. REDUCED DATA - COMPUTER MEDIA<br/>(ALSO SEE SCHEDULE 8)</p> <p>Computer media that contain all the basic and supporting measurements after they have been selected, processed, and reduced to the final form that best represents the scientific knowledge obtained from the investigation, i.e., space science flight experiments/investigations.</p> <hr/> <p>F. <u>PRINT FILES</u></p> <p>Electronic file extracted from a master file or database without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and reports.</p> <p>G. <u>TECHNICAL REFORMAT FILES</u></p> <p>Electronic files consisting of data copies from a master file or database for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to NARA.</p> <p>H. <u>SECURITY BACKUP FILES</u></p> <p>Electronic files consisting of data identical in physical format to a master file or database and retained in case the master or database is damaged or inadvertently erased.</p> <p>1. File identical to records scheduled for transfer to NARA.</p> | <p>SEE PAGE NOTE BELOW</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION<br/>APPROVAL<br/>(N 26-4)</p> <hr/> <p>DELETE WHEN NO LONGER<br/>NEEDED.<br/>[GRS 20-6] (N 27-6)</p> <p>DELETE WHEN NO LONGER<br/>NEEDED.<br/>[GRS 20-7]</p> <p>DELETE WHEN THE IDENTICAL<br/>RECORDS HAVE BEEN<br/>TRANSFERRED TO NARA AND<br/>SUCCESSFULLY COPIED, OR<br/>WHEN REPLACED BY A<br/>SUBSEQUENT SECURITY<br/>BACKUP FILE.<br/>[GRS 20-8a]</p> |
|              |             | <p>2. File identical to records authorized for disposal in an approved NASA records schedule.</p> <p>I. <u>ELECTRONIC INDEXES OR FINDING AIDS</u></p> <p>Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by NARA, an approved SF 115, or another NASA Schedule, EXCLUDING records containing abstracts or</p>   | <p>DELETE WHEN THE IDENTICAL<br/>RECORDS HAVE BEEN DELETED,<br/>OR WHEN REPLACED BY A<br/>SUBSEQUENT SECURITY<br/>BACKUP FILE.<br/>[GRS 20-8b]</p> <p>DELETE WITH RELATED<br/>RECORDS OR WHEN NO LONGER<br/>NEEDED, WHICHEVER IS LATER.</p>   |

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|--------------|-------------|--|--|
|              |             | other information that can be used as an information source apart from the related records.<br><br>J. <u>SPECIAL PURPOSE PROGRAMS</u><br><br>Application software necessary solely to use or maintain a master file or data base authorized for disposal by NARA, an approved SF 115, or another NASA Schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or data base or any master file or data base scheduled for transfer to NARA.   | [GRS 20-9]<br><br>DELETED WHEN RELATED MASTER FILE OR DATA BASE HAS BEEN DELETED.<br>[GRS 20-10]   |
| <b>2430</b>  |             | <b>Equipment Utilization and Control</b>   | (see below)  |
| 2430         | <b>16</b>   | <b>INFORMATION SERVICES SYSTEM - LaRC ONLY</b><br><br>The data for this system is in electronic format only. It is downloaded from the mainframe - data is received either weekly or monthly - and needs to be provided to users in electronic format (data is in ASCII format--located on a microprocessor). No paper documentation is created. The electronic file is extracted from a master file or data base without changing it and it is used solely to produce another electronic data base or medium.<br><br>A. <u>DATA</u><br><br>Administrative and/or business records.<br><br>B. <u>PAPER</u><br><br>Records consist of user manuals and administrative paperwork/correspondence which either establishes, modifies, or changes the systems. Paperwork can include lists or requests to add or delete system users. Paperwork not required for audit or legal purposes.   | DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR WORK USE.<br>[GRS 20-5]<br><br>DESTROY AFTER THE INFORMATION HAS BEEN CONVERTED TO AN ELECTRONIC MEDIUM AND VERIFIED, OR WHEN NO LONGER NEEDED, WHICHEVER IS LATER. [GRS 20-2a] |
| 2430         | <b>17</b>   | <b>COMPUTER-MEDIA STORAGE FACILITIES</b><br><br>A. <u>SPACE SCIENCE FLIGHT PROJECT/EXPERIMENT DATA</u> (ALSO SEE SCHEDULE 8)<br><br>Media which have been used to create reduced data, or where usable data has been extracted. These data typically represent any and all orbiting spacecraft originated data, including, but not necessarily limited to, instrument and housekeeping data. Such data is sent from spacecraft such as the Compton Gamma Ray Observatory (GRO), the Upper Atmosphere Research Satellite (UARS), etc.<br><br>B. <u>OTHER SCIENTIFIC, ENGINEERING, AND EXPERIMENTAL DATA</u><br><br>1. Environmental, oceanographic, atmospheric, terrestrial, data and/or extraterrestrial observations and measurements, medical research and/or animal or plant husbandry investigations.<br><br>2. Data used in the development, fabrication, construction, testing, and/or routine operation of such things as instruments, vehicles, machinery, or spacecraft.<br><br>C. <u>CONTRACTOR-CREATED MEDIA</u> | SEE PAGE NOTE BELOW<br><br>HANDLE AS PERMANENT PENDING RETENTION APPROVAL (N 26-2)<br><br>HANDLE AS PERMANENT PENDING RETENTION APPROVAL (N 26-3)<br><br>HANDLE AS PERMANENT PENDING RETENTION APPROVAL                        |

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|--------------|-------------|--|---|
|              |             | <ol style="list-style-type: none"> <li>Scientific, engineering, and experimental data received by NASA in pursuance of Federal law or in connection with the transaction of public business and duplicated in a national data center.</li> <li>Scientific, engineering, and experimental data media created under a contract and in the possession of the contractor in a Government storage facility, i.e., GSFC's Tape Staging and Storage Facility (TSSF).</li> </ol>   | <p>HANDLE AS PERMANENT<br/>PENDING RETENTION<br/>APPROVAL</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION<br/>APPROVAL</p>   |
| 2430         | 18          | <b>DUPLICATE COMPUTER/ELECTRONIC MEDIA</b><br><br>Computer/electronic media that has been duplicated and provided as an extra copy to other offices or individuals other than the Principal Investigator or the Office of Primary Responsibility (OPR).  | DELETE RECORDS WHEN NO<br>LONGER NEEDED. RELEASE<br>MEDIA FOR REUSE AS SOON AS<br>RECORDS DELETED.<br>[GRS 20-7] (N 26-5)   |
| 2440         |             | <b>Data Display</b>  | Contact Center Records Mgr.   |
| 2450         |             | <b>Personnel Management</b>  | Contact Center Records Mgr.   |
| 2500         |             | <b>Communications</b>  | (see below)   |
| 2500         | 19          | <b>COMMUNICATIONS RECORDS</b><br><br>A. <u>CORRESPONDENCE, REPORTS, AND REFERENCE FILES</u><br><br>Correspondence and related records pertaining to the internal administration and operation of the communications function. Documents relating to communications planning, projecting requirements and costs, and HQ approval, such as NASA Form 1102 and 1103 and related materials. Records may include, but are not limited to: NASA Mail items/documentation (media independent) such as monthly NASA-Mail reports, user account requests and activity logs; Direct Access Computer System (DACS) requests; and any other associated user documentation.<br><br>B. <u>COMMUNICATION EQUIPMENT/SUPPORT REQUIREMENTS</u><br><br><ol style="list-style-type: none"> <li>Security equipment requirements and all related documentation and materials.</li> <li>Project support communications requirements, records consist of documents reflecting support requirements for the objectives contained in the PSCN database (OPR).</li> </ol><br>-----<br>C. <u>GUIDANCE, POLICY, PLANNING RECORDS</u><br><br>Program files which consist of documents providing guidance or assumptions for the development of the communications segment Files consist of overall guidance, technology plans, and ADP plans - OPR, NASA Headquarters, and MSFC Com Center ONLY.<br><br>-----<br>D. <u>INTERFERENCE REDUCTION</u><br><br>Documents relating to the testing or advising on techniques and equipment designed to reduce or eliminate electrical disturbances which cause undesirable response or malfunctioning of electric equipment. | DESTROY WHEN 2 YEARS OLD<br>OR WHEN REFERENCE VALUE<br>CEASES, WHICHEVER IS<br>SOONER.<br><DA: N1-255-94-1> (N 10-29)<br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-1> (N 10-11)<br><br>DESTROY WHEN UPDATED OR<br>SUPERSEDED.<br><DA: N1-255-94-1> (N 10-5)<br><br>-----<br>SEE PAGE NOTE BELOW<br><br>HANDLE AS PERMANENT<br>PENDING RETENTION<br>APPROVAL<br>(N 10-4)<br><br>-----<br>DESTROY WHEN 6 YEARS OLD.<br><DA: N1-255-94-1> (N 10-8) |

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|--------------|-------------|---|--|
|              |             | <p>E. <u>FACILITIES LEASE REQUESTS</u></p> <p>Documents relating to requests for providing, rearranging, and removing communication facilities, equipment, and services leased from commercial companies to meet communications objectives of NASA.</p> <p>F. <u>ACCOUNT FILES</u></p> <p>Documents relating to communication lines, i.e., telephone, data, wide-area networks, etc. Vouchers, vendors invoices, and correspondence EXCLUDING fiscal copy, and including local and commercial overseas accounting.</p> <ol style="list-style-type: none"> <li>Reference copies of vouchers, bills, invoices, and related records.</li> <li>Records relating to installation, change, work orders, removal, and servicing of equipment.</li> <li>Copies of agreements with background data and other records relating to agreements for telecommunications services.</li> </ol> <p>G. <u>TOLL SLIPS/STATEMENTS</u></p> <p>Telephone, telegram, TWX, toll slips, and all other communication statements and related papers.</p> <p>H. <u>TELECOMMUNICATIONS OPERATIONAL FILES</u></p> <ol style="list-style-type: none"> <li>Message registers, logs, performance reports, daily load reports, and related or similar records. (Both paper and electronic.)</li> <li>Copies of incoming and original copies of outgoing messages, including SF 14, Telegraphic Messages maintained by the communications offices or centers, and EXCLUDING the copies maintained by the originating program office.</li> </ol> <p>I. <u>WIRE/WIRELESS MESSAGE FILES</u></p> <p>Copies of incoming and outgoing wire/wireless message and all related records.</p> | <p>DESTROY 3 YEARS AFTER TERMINATION OF LEASE.<br/>&lt;DA: N1-255-94-1&gt; (N 10-7)</p> <p>DESTROY WHEN 1 FISCAL YEAR OLD.<br/>[GRS 12-2d(1)] (N 10-5)</p> <p>DESTROY 1 YEAR AFTER AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>[GRS 12-2d(2)]</p> <p>DESTROY 2 YEARS AFTER EXPIRATION OR CANCELLATION OF AGREEMENT.<br/>[GRS 12-2e]</p> <p>DESTROY 3 YEARS AFTER PERIOD COVERED BY ACCOUNT.<br/>[GRS 3-10] (N 10-14)</p> <p>DESTROY WHEN 6 MONTHS OLD<br/>[GRS 12-3a] (N 10-12)</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 12-3b]</p> <p>DESTROY WHEN 6 MONTHS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 10-13)</p> |
| <b>2510</b>  |             | <b>General</b>  | Contact Center Records Mgr.  |
| <b>2520</b>  |             | <b>NASA Communications System</b>   | Contact Center Records Mgr.  |
| <b>2530</b>  |             | <b>Telecommunications and Messages</b>  | Contact Center Records Mgr.  |
| <b>2540</b>  |             | <b>Administrative Communications</b>  | Contact Center Records Mgr.  |
| <b>2550</b>  |             | <b>Cryptography</b>   | Contact Center Records Mgr.  |
| <b>2570</b>  |             | <b>Radio Frequency Management</b>   | (see below)  |
| 2570         | <b>20</b>   | <p><b>FIXED COMMUNICATIONS FILES</b></p> <p>A. <u>FACILITY PROJECTS</u></p> <p>Documents relating to the establishment, approval, and construction or implementation of fixed wire/cable, blueprints on maintenance in-house and outside, and radio facility development projects.</p>  | <p>* PERMANENT *</p> <p>RETIRE TO FRC 1 YEAR AFTER DISCONTINUANCE OF FACILITY.</p>   |

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|--------------|-------------|--|--|
|              |             | <p>B. <u>OPERATIONS FILES</u></p> <p>Documents containing information and data on codes, radio frequency assignments, call signs, and lists of holders or code systems.</p> <p>C. <u>TRAFFIC VOLUME REPORT</u></p> <p>Documents reflecting data on circuit usage for engineering of fixed communications facilities, planning, programming and budgeting and related papers.</p> <p>1. Office of primary responsibility.</p> <p>2. All other offices/copies.</p>   | <p>TRANSFER TO NARA 10 YEARS AFTER DISCONTINUANCE OF FACILITY.<br/>&lt;DA: N1-255-94-1&gt; (N 10-6)</p> <p>DESTROY WHEN SUPERSEDED, OBSOLETE, OR NO LONGER NEEDED.<br/>&lt;DA: N1-255-94-1&gt; (N 10-9)</p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 10-2)</p> <p>DESTROY WHEN 6 MONTHS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> |
| 2570         | 21          | <p><b>RADIO AND TELEVISION RECORDS</b></p> <p>A. <u>SERVICE CONTROL FILES</u></p> <p>Documents related to the servicing and operation of radio and television equipment and systems, including service records and summaries of authorized equipment and service.</p> <p>B. <u>RADIO FREQUENCY FILES</u></p> <p>Authorization, allocation, assignment, correlation, and use of radio frequencies and call signs.</p> <p>C. <u>COMMUNICATIONS REPRESENTATION FILES</u></p> <p>Documents concerning representation on and recommendations to joint or other non-NASA agencies, including implementation of decisions on signal communications and electronic policies, particularly on radio frequency allocations, call signs, radio interference, and radio propagation matters.</p> | <p>DESTROY WHEN SUPERSEDED OR ON DISCONTINUANCE OF THE FACILITY OR INSTALLATION, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt; (N 10-10)</p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 10-1)</p> <p>DESTROY WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 10-3)</p>   |
| 2600         |             | <b>Photographic Services Management</b>  | (see below)  |
| 2600         | 22          | <p><b>FILM CONTROL - LOGS / FORMS / CHARGE OUT CARDS</b></p> <p>A. Log books, caption sheets, shelf lists, indexes, catalogs, and shot lists, used as finding aids for identification, retrieval, or use.</p>  | <p>DISPOSE OF ACCORDING TO INSTRUCTIONS COVERING THE RELATED AUDIOVISUAL RECORDS.<br/>[GRS 21-29] (N 19-13)</p>  |

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|--------------|-------------|--|--|
|              |             | B. Forms used as finding aids, identification, or used for retrieval purposes, of films.<br>C. Cards showing film and equipment on loan(s).  | SEE ABOVE DISPOSITION.<br>(N 19-12)<br><br>DESTROY 1 YEAR AFTER LAST ENTRY ON CARD.<br><DA: N1-255-94-1> (N 9-6)   |
|              |             |  |  |
| <b>2610</b>  |             | <b>Equipment, Supplies, and Attachments</b>  | Contact Center Records Mgr.  |
| <b>2620</b>  |             | <b>Photographic Instrumentation</b>  | Contact Center Records Mgr.  |
| <b>2630</b>  |             | <b>Photography Services</b>  | (see below)  |
| 2630         | <b>23</b>   | <p><b>PHOTOGRAPHS / STILL PICTURES</b></p> <p><b>NOTE:</b> Motion Picture Films (N 19-16) AFS 1394 SEE SCHEDULE 1.<br/>Sound Tracks AFS 1394 SEE SCHEDULE 1</p> <p>A. <u>PHOTOGRAPHIC WORK/PRODUCTION REPORT FILES</u></p> <ol style="list-style-type: none"> <li>Work orders and ledgers used in processing and production of photographic services (information may be contained in an electronic action tracking system).</li> <li>Reports showing workload, time expended, and type of production (color, black and white, still, or motion picture).</li> </ol> <p>B. <u>STILL PICTURES</u></p> <p>NOTE: FOLLOW INSTALLATION SPECIFIC DISPOSITION IF ONE IS PROVIDED.</p> <p>NOTE: Photo/negative degradation can occur when collections are stored in FRC's under non-favorable conditions. An <b>immediate</b> transfer to NARA should be considered instead of storing records when Agency need ceases.</p> <ol style="list-style-type: none"> <li>Photographs (a master and one captioned print, if available), slides and transparencies (original and one duplicate, if available) use for the visual presentation of information to the public. (This series includes any finding aids or indexes used, paper or electronic, if available.) <ul style="list-style-type: none"> <li>(a) MASTER NEGATIVES <p>Collections of negatives otherwise unidentified by a specific category or collection title.</p> </li> </ul> </li> </ol> <hr/> <p>(b) NASA HEADQUARTERS</p> <p>NASA Headquarters (Office of Public Affairs) will maintain one record copy of all titled and official NASA photographs and slides released to the public. (NOTE: Arrangement of records should be kept by subject or calendar year, whichever is feasible.)</p> | <p>DESTROY WHEN 3 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt; (N 9-4)</p> <p>DESTROY WHEN 1 YEAR OLD OR WHEN NO LONGER NEEDED FOR REFERENCE.<br/>&lt;DA: N1-255-94-1&gt; (N 9-5)</p> <p>* PERMANENT *<br/>RETIRE MASTER AND ONE PRINT IF AVAILABLE TO FRC IN 1 YEAR BLOCKS WHEN NO LONGER NEEDED OR WHEN 5 YEARS OLD WHICHEVER IS SOONER. TRANSFER TO NARA IN 5 YEAR BLOCKS WHEN 20 YEARS OLD OR SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> <hr/> <p>SEE PAGE NOTE BELOW</p> <p>HANDLE AS PERMANENT PENDING RETENTION APPROVAL</p> <hr/> |

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|--------------|-------------|---|--|
|              |             | <p>(c) INSTALLATIONS</p> <p>Installation originating the photograph or slide will retain the negative and one print of each of its serially numbered NASA photographs.</p>  | <p>* PERMANENT *</p> <p>RETIRE TO LOCAL FRC IN ONE YEAR BLOCKS WHEN 5 YEARS OLD. TRANSFER TO NARA IN 5 YEAR BLOCKS WHEN 25 YEARS OLD OR SOONER.</p> <p>&lt;DA: N1-255-94-1&gt;</p>   |
|              |             | <p>2. AMES RESEARCH CENTER (ARC)</p> <p>The official ARC photo collection resides with the Imaging Technology Branch. Collection consists of master still negatives, photographs, and/or slides, maintained on a computerized indexed system accessed via key word search (system covers Dryden Flight Research Facility collection/records).</p> <p>(a) One print and master negative along with associated indexes/finding aids. (Starting January 1983 and forward.)</p> <p>(b) Master negatives 1939-1949</p> <p>(c) Master negatives 1950-1960.</p> <p>(d) Master negatives 1961-1971.</p> <p>(e) Master negatives 1972-1982.</p> <p>3. KENNEDY SPACE CENTER (KSC)</p> <p>(a) Space Transportation System (STS)</p> <p>(b) STS Research and Development. Records include STS R&amp;D coverage, training, and construction progress stills.</p> | <p>* PERMANENT *</p> <p>TRANSFER ANNUALLY 1 YEAR AS IT BECOMES 11 YEARS OLD. (THIS DISPOSITION STARTS WITH RECORDS DATED AFTER 1983.)</p> <p>&lt;DA: N1-255-94-1&gt;</p> <p>TRANSFER TO NARA JANUARY 1, 1995.</p> <p>&lt;DA: N1-255-94-1&gt;</p> <p>TRANSFER TO NARA JANUARY 1, 1996.</p> <p>&lt;DA: N1-255-94-1&gt;</p> <p>TRANSFER TO NARA JANUARY 1, 1997.</p> <p>&lt;DA: N1-255-94-1&gt;</p> <p>TRANSFER TO NARA JANUARY 1, 1998.</p> <p>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *</p> <p>RETAIN NEGATIVES ON-SITE FOR 5 YEARS. TRANSFER ORIGINALS AND ONE CAPTIONED PRINT (WHERE AVAILABLE) TO NARA, STILL PICTURES BRANCH (NNSP), COLLEGE PARK, MD, WHEN 5 YEARS OLD. INDEXES AND FINDING AIDS SHOULD BE TRANSFERRED WITH THE RECORDS.</p> <p>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *</p> <p>RETAIN NEGATIVES ON-SITE FOR 5 YEARS. TRANSFER ORIGINALS AND ONE CAPTIONED PRINT (WHERE AVAILABLE) TO NARA, STILL PICTURES BRANCH (NNSP),</p> |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# LEGAL AND TECHNICAL RECORDS

# SCHEDULE 2 (AFS 2000-2999)

This document is updated frequently, therefore, printed copies may be obsolete, refer to the Change History Log  
At the beginning of NPG 1441.1 in the NASA Online Directives Information System (NOTIS) for current version.

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|---|---|
|              |             |   | COLLEGE PARK, MD, 20740<br>WHEN 5 YEARS OLD. INDEXES<br>AND FINDING AIDS SHOULD BE<br>TRANSFERRED WITH THE<br>RECORDS.<br><DA: N1-255-94-1>   |
|              |             | <p>4. STENNIS PHOTOGRAPHIC COLLECTION (SSC)</p> <p>Collection consists of master still negatives, photographs, and/or slides used for the visual presentation of information to the public. Records are tracked and logged in a computerized database which documents each picture by SSC negative numbers, date, name, and general caption/description.</p> <p>Official records are maintained by the Stennis Graphics Department as the office of primary responsibility, not by the requesting office or project.</p> <p>(a) One print and master negative along with associated printout of computerized database/index.</p> <p>(b) Stennis Official Photographic Collection dated:</p> <p>(1) 1962 through 1967</p> <p>(2) 1968 through 1973</p> <p>5. LANGLEY RESEARCH CENTER (LaRC)</p> <p>The original numbered photographic negative collection and associated logs. This collection consists consists of records dated 1958 and beyond, considered as a part of the National Aeronautics and Space Administration (NASA) collection. These negatives will be grouped in 5-year blocks along with their logs and associated finding aids.</p> <p>6. LEWIS RESEARCH CENTER (LeRC)</p> <p>Currently LeRC collection consists of approximately 10 years of "C#" pictures stored on-site at LeRC with the remaining stored at Sandusky, Ohio. Collection is dated from 1941 to present (pre-1980 majority B/W; post-1980 majority Color). Stills are kept chronologically by "C#". Launch photography is not a part of the C-collection.</p> <p>(a) "C" Collection.<br/>NOTE: LeRC is currently underway with a project whereby this "C" collection is being transferred to an electronic/computerized access system. Therefore, TRANSFER to NARA is based on completion of this project.</p> <p>(1) Lewis "C#" Collection will be transferred in 5 years blocks as indicated:</p> | <p>* PERMANENT *</p> <p>TRANSFER IN 5 YEAR BLOCKS<br/>WHEN 20 YEARS OLD. (THIS<br/>DISPOSITION STARTS WITH THE<br/>RECORDS DATED JANUARY 1,<br/>1974.)<br/>&lt;DA: N1-255-94-1&gt;</p> <p>TRANSFER UPON APPROVAL.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>TRANSFER JANUARY 31, 1998.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *</p> <p>NEGATIVES AND LOGS THAT<br/>ARE A PART OF THE NASA<br/>COLLECTION WILL BE<br/>TRANSFERRED IN 5-YEAR<br/>BLOCKS WHEN NO LONGER<br/>NEEDED BY THE AGENCY FOR<br/>ACTIVE USE OR WHEN 30 YEARS<br/>OLD, WHICHEVER IS SOONER.<br/>[N1-255-89-5]</p> <p>*PERMANENT *</p> <p>TRANSFER IN 5 YEAR BLOCKS</p> |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# LEGAL AND TECHNICAL RECORDS

## SCHEDULE 2 (AFS 2000-2999)

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At the beginning of NPG 1441.1 in the NASA Online Directives Information System (NOTIS) for current version.

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|---|--|
|              |             | <p>[One master print and associated indexes/logs or other finding aids.]</p> <p>R 1941 through 1946<br/>R 1947 through 1951<br/>R 1952 through 1956<br/>R 1957 through 1961<br/>R 1962 through 1966<br/>R 1967 through 1971</p> <p>(2) 1972 and Continuing:</p> <p>(b) "CC," "CS," and "CD" Collections.</p> <p>Files in these collections consist of graphic artwork, photographs, and copies of the Center Director's annual message to LeRC.</p> <p>(1) "CC" Collection [Cleveland Color]<br/>FROM: Approx. 1950 to 1969.<br/>This collection consists of color still photographs.<br/>NOTE: This is a CLOSED series/collection.</p> <p>(2) "CS" Collection [Cleveland Slide]<br/>FROM: Approx. 1941 to 1987.<br/>This collection contains original master "CS" and in some cases duplicates the "C#" and "CD" negatives of stills and/or graphics.<br/>NOTE: This is a CLOSED series/collection.<br/>NOTE: LeRC will remove duplicate negatives prior to shipment of this collection to NARA.</p> | <p>STARTING JANUARY 31, 1995.<br/>WITH TRANSFER OF EACH<br/>SUCCESSIVE 5 YEAR BLOCK<br/>ONE YEAR LATER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>TRANSFER JANUARY 31, 1995.<br/>TRANSFER JANUARY 31, 1996.<br/>TRANSFER JANUARY 31, 1997.<br/>TRANSFER JANUARY 31, 1998.<br/>TRANSFER JANUARY 31, 1999.<br/>TRANSFER JANUARY 31, 2000.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>NEGATIVES AND LOGS THAT<br/>ARE A PART OF THE<br/>COLLECTION WILL BE<br/>TRANSFERRED IN 5-YEAR<br/>BLOCKS WHEN NO LONGER<br/>NEEDED BY THE AGENCY FOR<br/>ACTIVE USE OR WHEN 20 YEARS<br/>OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>*PERMANENT *<br/>TRANSFER ENTIRE COLLECTION<br/>TO NARA UPON APPROVAL.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>*PERMANENT *<br/>TRANSFER IN 5-YEAR BLOCKS<br/>STARTING JANUARY 31, 1997.<br/>&lt;DA: N1-255-94-1&gt;</p> |
|              |             | <p>(3) "CD" Collection [Cleveland Drawing]<br/>This is a collection of LeRC original artwork.<br/>NOTE: This is a CONTINUING series/collection.</p> <p>(c) Portraits - Photos not paintings</p> <p>This collection consists of portraits of high level installation officials (1 master negative plus 1 print), and are maintained by the officials last name.<br/>NOTE: This collection is being converted to an electronic system and will be transferred to NARA after conversion and capture of the portraits on the new system has occurred.</p> <p>C. <u>R&amp;D STILLS</u></p> <p>1. <u>SELECTED PROJECT CASE FILES</u></p>  | <p>* PERMANENT *<br/>TRANSFER ONE 35MM SLIDE<br/>AND ONE PRINT IN 5-YEAR<br/>BLOCKS WHEN 20 YEARS OLD,<br/>STARTING JANUARY 31, 1998.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>TRANSFER TO NARA IN 5-YEAR<br/>BLOCKS WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p>  |

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# LEGAL AND TECHNICAL RECORDS

## SCHEDULE 2 (AFS 2000-2999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|--|--|
|              |             | <p>Photographs, a master and one captioned print if available, that document significant R&amp;D project activities. This series covers the OPR or Project Offices' original still photographs for projects that are selected by the Project Office as having historical or technical value and warrant permanent retention (see selection criteria outlined in Schedule 8, Item 5A).</p> <p>2. NON-SELECTED PROJECT CASE FILES</p> <p>Photographs that are created during the course of a project that does not meet the selection criteria as identified in Schedule 8, Item 5A.</p> <p>3. INSTALLATION PHOTO LABS/OFFICES</p> <p>Duplicate copies of above stills (Items 23-C-1 and C-2) that are maintained in the installation photo lab, audiovisual office, or any other office as reference copies.</p>  | <p>* PERMANENT *<br/>TRANSFER WITH SELECTED PROJECT CASE FILE UNDER SCHEDULE 8-5A.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>THESE RECORDS MAY BE RETIRED WITH THE NON-SELECTED PROJECT CASE FILES (REF. SCHEDULE 8-5B).<br/>&lt;DA: N1-255-94-3&gt;</p> <p>THIS SERIES MAY BE RETIRED TO AN FRC WHEN 2 YEARS OLD. DESTROY WHEN 15 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p>   |
| 2630         | 24          | <p><b>VIDEO PRODUCTIONS</b></p> <p>NOTE: Record elements consist of an ORIGINAL and a duplicate, if available for all * PERMANENT * items. <u>FOLLOW INSTALLATION SPECIFIC DISPOSITION IF ONE IS PROVIDED.</u></p> <p>A. <u>FINISHED PRODUCTIONS</u></p> <p>1. DOCUMENTARIES</p> <p>Documentary style finished video productions which document installation projects, programs, or the mission of the agency/installation, such productions may include but are not limited to:</p> <p>R Aeronautics and Space Reports</p> <p>2. MISCELLANEOUS PRODUCTIONS</p> <p>Finished video productions such as the following, but not limited to:</p> <p>R Training Classes<br/>R Meetings/Conferences or Seminars</p> <p>3. LANGLEY RESEARCH CENTER</p> <p>(a) FINISHED PRODUCTIONS - (See description above)</p> <p>(b) R&amp;D TECHNICAL RESEARCH</p> <p>These videos are taped per customer requests of pure R&amp;D projects such as testing data and footage of experiments, etc. The</p> | <p>* PERMANENT *<br/>PRODUCTIONS ARE TRANSFERRED TO THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION, NONTEXTUAL DIVISION, ON AN ANNUAL BASIS OR AS CREATED. TWO COPIES OF EACH PRODUCTION WILL BE PROVIDED. ONE MASTER (FINISHED PRODUCTION) AND ONE DUPLICATE COPY.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY OR REUSE WHEN NO LONGER NEEDED OR WHEN 1 YEAR OLD, WHICHEVER IS LONGER.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>*PERMANENT *<br/>TRANSFER IN 5 YEAR BLOCKS WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED FOR RESEARCH REFERENCE AND EVALUATION</p> |

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# LEGAL AND TECHNICAL RECORDS

## SCHEDULE 2 (AFS 2000-2999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|---|---|
|              |             | <p>original footage is returned to the researcher/scientist as the requesting customer.</p> <p>4. JOHNSON SPACE CENTER (JSC)<br/>NOTE: See Chapter 8, Item 25A.</p> <p>(a) MISSION VIDEO - MASTERS</p> <p>Consists of launch/landing; JSC downlinks (1 original and 1 converted to color); pre-mission and post-mission press conferences; and, on-board recordings.</p> <p>(b) MISSION VIDEO - COPIES / DUPLICATES</p> <p>(c) MISCELLANEOUS ACTIVITIES<br/>R Test and Training Activities<br/>R Productions (Scripted), i.e., General Information/Training<br/>R Documentaries of Press Conference(s)/Special Event(s)</p> <p>5. STENNIS SPACE CENTER (3/4" format only)</p> <p>Documentary style productions on center projects and mission, including R&amp;D projects and documentaries.</p> <p>B. <u>STILL VIDEO PHOTOGRAPHY</u></p> <p>STENNIS SPACE CENTER (SSC)<br/>LEWIS RESEARCH CENTER (LeRC)</p> <p>The graphics department or photo lab, as appropriate, will take the digital image and transfer the permanent information from the 2x2 disk to optical disk or the archival media acceptable at the time of transfer. Data consists of R&amp;D or mission related documentation and is usually time sensitive.</p> | <p>OF SCIENTIFIC DATA.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>MASTER MEDIA WITH ALL IDENTIFYING INFORMATION. TRANSFER TO NARA WHEN 30 YEARS OLD.<br/>NOTE: Records are to be recopied every 10 years and with TRANSFER at 30 years. Included with transfer at 30, will be the earliest generation available in a then current professional video format and will include a reference copy, if available.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>RETAIN AT JSC IN STORAGE. DESTROY WHEN NO LONGER NEEDED.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>DESTROY OR REUSE AFTER 30 DAYS.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT *<br/>TRANSFER ANNUALLY TO NARA ONE ORIGINAL MASTER AND ONE DUPLICATE COPY OF THE VIDEO.<br/>&lt;DA: N1-255-94-1&gt;</p> <p>* PERMANENT*<br/>TRANSFER TO NARA IN 5 YEAR BLOCKS WHEN 20 YEARS OLD<br/>&lt;DA: N1-255-94-1&gt;</p> |
|              |             | <p>C. <u>R&amp;D VIDEOS</u></p> <p>1. SELECTED PROJECT CASE FILES</p> <p>Videos, original and duplicate, if available, that documents significant R&amp;D project activities. This series covers the OPR or Project Offices' original video (master, i.e., 1st generation) for projects that are selected by the Project Office as having historical or technical value and warrant permanent retention (see selection criteria outlined in Schedule 8, Item 5A).</p> <p>2. NON-SELECTED PROJECT CASE FILES</p> <p>Videos that are created during the course of a project that does not meet the selection criteria as identified in Schedule 8, Item 5A.</p>   | <p>* PERMANENT *<br/>TRANSFER WITH SELECTED PROJECT CASE FILE UNDER SCHEDULE 8, ITEM 5A.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>THESE VIDEOS MAY BE RETIRED WITH THE NON-SELECTED PROJECT CASE FILES (REF. SCHEDUL 8-5B).</p>   |

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# LEGAL AND TECHNICAL RECORDS

## SCHEDULE 2 (AFS 2000-2999)

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| <u>AFS #</u> | <u>ITEM</u> | <b>SUBJECT AREA OR RECORD TITLE</b><br><b><u>DESCRIPTION OF RECORD SERIES</u></b>   | <b>RETENTION</b><br><b><u>&lt;Authority&gt;</u></b>   |
|--------------|-------------|---|---|
|              |             | 3. INSTALLATION PHOTO LABS/OFFICES<br><br>Duplicate copies of the above videos (Items 24-C-1 and C-2) that are maintained in the installation photo lab, audiovisual office, or any other office as reference copies. | <DA: N1-255-94-3><br><br>THIS SERIES MAY BE RETIRED TO AN FRC WHEN 2 YEARS OLD. DESTROY WHEN 15 YEARS OLD.<br><DA: N1-255-94-3> |
| 2630         | 25          | <b>PASSPORT FILES</b><br><br>Personnel identification or passport photographs.<br>RETURN ORIGINAL TO REQUESTOR.   | DESTROY WHEN 5 YEARS OLD OR WHEN SUPERSEDED OR OBSOLETE, WHICHEVER IS LATER.<br>[GRS 21-2] (N 22-3)                             |
| 2640         |             | <b>Projectors and Operator Services</b>   | Contact Center Records Mgr.   |
| 2800         |             | <b>Information Technology (IT) Management</b>   | Contact Center Records Mgr.   |
| 2810         |             | <b>IT Security</b>  | Contact Center Records Mgr.   |
| 2820         |             | <b>NASA Software Policies</b>   | Contact Center Records Mgr.   |
|              |             |   |   |
|              |             |   |   |
|              |             |   |   |
|              |             | <b>END OF SCHEDULE</b>  |   |
|              |             |   |   |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



## **NASA RECORDS RETENTION SCHEDULE 3**

### **HUMAN RESOURCES (PERSONNEL) RECORDS**

This records schedule is one of a series of schedules approved by the Archivist of the United States, which furnish authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers/installations or offices. This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

The records described in Schedule 3, pertain to the management and operation of NASA personnel functions. These records relate to the supervision over and management of Federal civilian employees. This schedule covers the disposition of all official personnel folders of civilian employees and other records relating to civilian personnel, wherever located in the Agency. However, records such as the Official Personnel Folders, the Service Record Cards, and the Employee Medical Folders, are maintained according to Federal Personnel Manual Supplement 293-32, which takes precedence over any provisions of this schedule which may be in conflict therewith. The FPM prescribes a system of record keeping for Federal personnel records.

With the exception of electronic records created in central data processing facilities described under Items 1 {OPFs} and 51b.{EEO}, Schedule 1, Items 125(c)(2){Statistical Summaries} and 126 {EMFs}, all records described in this schedule are authorized for disposal in both hard copy and electronic forms, under NASA Schedule 2, for General Record Categories, other NASA schedules as appropriate depending on record series, and, NASA Schedule 10, Records Common to Most Offices.



# HUMAN RESOURCES (PERSONNEL) RECORDS

## SCHEDULE 3 (AFS 3000-3999)

This document is updated frequently, therefore, printed copies may be obsolete, refer to the Change History Log at the beginning of NPG 1441.1 in the NASA Online Directives Information System (NODIS) for current version.

| <u>AFS #</u>     | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|------------------|-------------|--|---|
| <b>3000-3999</b> |             | <b>HUMAN RESOURCES / PERSONNEL</b>   | (see below)   |
|                  | <b>0.1</b>  | <b>ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES</b><br><br>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.<br><br>This disposition applies to electronic copies of all items covered under Disposition Jobs N1-255-89-4, N1-255-92-10, N1-255-92-16, and N1-255-92-11 in the NASA Records Retention Schedule 3. This disposition does not apply to any item already covered by the General Records Schedules.<br><br>A. Electronic copies created on electronic mail and word processing systems that have no further administrative value after recordkeeping copy is made.<br><br>B. Electronic copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. | DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED AND DISSEMINATION, REVISION, OR UPDATING IS COMPLETED.<br><DA: N9-255-00-03><br><br>DELETE WHEN DISSEMINATION, REVISION OR UPDATING IS COMPLETED.<br><DA: N9-255-00-03>   |
|                  |             |  |   |
| <b>3000</b>      |             | <b>Human Resources/Personnel (General)</b>   | (see below)   |
| 3000             | <b>1</b>    | <b>OFFICIAL PERSONNEL FOLDER (FILE)</b><br><br>Records filed on the RIGHT side of the Official Personnel Folder (OPF) [See b. for the temporary papers on the LEFT side of the OPF.] Folders covering employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Administration for permanent retention. NOTE: Master files and data bases created in central data processing facilities to supplement or replace the OPR's are NOT AUTHORIZED for disposal Such files MUST be scheduled on an SF 115.<br><br>A. <u>TRANSFERRED EMPLOYEES</u><br>RECORD COPY — HQ - Office of Human Resources and Education<br><br>B. <u>SEPARATED EMPLOYEES</u><br>RECORD COPY — HQ - Office of Human Resources and Education<br><br>C. <u>ALL OTHER OFFICES/COPIES</u>   | SEE FEDERAL PERSONNEL MANUAL FOR INSTRUCTIONS RELATING TO FOLDERS OF EMPLOYEES TRANSFERRED TO ANOTHER AGENCY [GRS 1-1a] (N 15-1)<br><br>TRANSFER FOLDER TO NATIONAL PERSONNEL RECORDS CENTER, ST. LOUIS, MO, 30 DAYS AFTER SEPARATION. NPRC WILL DESTROY 65 YEARS AFTER SEPARATION FROM THE FEDERAL SERVICE [GRS 1 — 1b]<br><br>DESTROY WHEN OBSOLETE OR SUPERSEDED.<br><DA: N1-255-89-4> |
|                  |             |  |   |
| 3000             | <b>2</b>    | <b>TEMPORARY INDIVIDUAL EMPLOYEE RECORDS</b><br><br>All copies of correspondence and forms maintained on the LEFT side of the Official Personnel Folder (OPF) in accordance with Chapter 3 of The Guide to Personnel Recordkeeping , EXCLUDING performance-related records .   | DESTROY WHEN SUPERSEDED OR OBSOLETE OR UPON SEPARATION OR TRANSFER OF EMPLOYEE, UNLESS SPECIFICALLY REQUIRED TO BE TRANSFERRED WITH THE OPF.  |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# HUMAN RESOURCES (PERSONNEL) RECORDS

## SCHEDULE 3 (AFS 3000-3999)

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| <u>AFS #</u>                            | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|---|-------------|--|---|
|   |             |  | [GRS 1-10] (N 15-8)   |
| <b>3050</b>                             |             | <b>Equal Opportunity</b>   | (see below)   |
| 3050<br><br>Was under 3700 at one time. | <b>50</b>   | <b>EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS</b><br><br>A. <u>AFFIRMATIVE ACTION PLANS (AAP)</u><br><br>1. Agency copy of consolidated AAPs.<br><br>2. Agency feeder plan to consolidated AAPs.<br><br>3. Report of on-site reviews of AAPs.<br><br>4. Agency copy of annual report of affirmative action accomplishments.<br><br>5. Headquarters compiled reports.<br><br>B. <u>SPECIAL REPORTS</u><br><br>Reports on specific EEO programs, such as the status of women, minority groups, and mentally handicapped. Employment statistics relating to race and sex.<br><br>C. <u>EQUAL OPPORTUNITY RECORDS</u><br><br>1. Applications of employees and applicants for employment.<br><br>2. Miscellaneous routine records created by EEO offices not covered elsewhere in this item.<br><br>D. <u>EEO GENERAL</u><br><br>General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation; and agency EEO Committee meeting records including minutes and reports.<br><br>E. <u>EQUAL EMPLOYMENT OPPORTUNITY RECORDS (EEO) — NASA 10 EEO</u><br><br>1. Official Discrimination Complaint Case Files | <br><br>DESTROY 5 YEARS FROM DATE OF PLAN.<br>[GRS 1-25h(1)] (N 15-27, N 15-28)<br><br>DESTROY 5 YEARS FROM DATE OF FEEDER PLAN OR WHEN ADMINISTRATIVE PURPOSES HAVE BEEN SERVED, WHICHEVER IS SOONER.<br>[GRS 1-25h(2)]<br><br>DESTROY 5 YEARS FROM DATE OF REPORT.<br>[GRS 1-25h(3)]<br><br>DESTROY 5 YEARS FROM DATE OF REPORT.<br>[GRS 1-25h(4)]<br><br>RETIRE TO FRC WHEN PLANS ARE 5 YEARS OLD. DESTROY WHEN 30 YEARS OLD.<br><DA: N1-255-89-4><br><br>DESTROY WHEN 5 YEARS OLD.<br>[GRS 1-25f] (N 15-29)<br><br>SEE ITEM 13 OF THIS SCHEDULE.<br>[GRS 1-15]<br><br>ROUTINE RECORDS ARE REVIEWED PERIODICALLY AND ARE RETAINED OR DESTROYED AS REQUIRED BY THIS NPG OTHERWISE RECORDS IN THIS SERIES ARE DESTROYED WHEN 3 YEARS OLD, OR WHEN SUPERSEDED OR OBSOLETE, WHICHEVER IS APPLICABLE.<br>[GRS 1-25g]<br><br>DESTROY WHEN 3 YEARS OLD, OR WHEN SUPERSEDED OR OBSOLETE, WHICHEVER IS APPLICABLE.<br>[GRS 1-25g]<br><br>DESTROY 4 YEARS AFTER RESOLUTION |

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# HUMAN RESOURCES (PERSONNEL) RECORDS

## SCHEDULE 3 (AFS 3000-3999)

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| <u>AFS #</u> | <u>ITEM</u>      | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|------------------|--|---|
|              |                  | <p>Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, record of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by EEOC, or by a U.S. Court.</p> <p>2. Copies of Complaint Case Files.<br/>Duplicate case files or documents pertaining to case files retained in official discrimination complaint case files.</p> <p>3. Background Files<br/>Background record not filed in the Official Discrimination Complaint Case files. Records documenting complaints that do not develop into Official Discrimination Complaint Cases.</p> <p>4. Compliance Records</p> <p>(a) Compliance Review Files<br/>Reviews, background papers, and correspondence relating to contractor employment practices.</p> <p>(b) EEO Compliance Reports</p> | <p>OF CASE.<br/>[GRS 1-25a]</p> <p>DESTROY 1 YEAR AFTER RESOLUTION OF CASE.<br/>[GRS 1-25b]</p> <p>DESTROY 2 YEARS AFTER FINAL RESOLUTION OF CASE<br/>[GRS 1-25c]</p> <p>DESTROY WHEN 7 YEARS OLD.<br/>[GRS 1-25d(1)]</p> <p>DESTROY WHEN 3 YEARS OLD.<br/>[GRS 1-25d(2)]</p> |
| <b>3100</b>  |                  | <b>Executive Human Resources Management (Senior Executive Service (SES))</b>   | (see below)   |
| 3100         | <b>3</b><br>PASR | <p><b>EXECUTIVE RESOURCES MANAGEMENT SYSTEM — NASA 10 ERMS</b></p> <p>Biographical data, education, training, work experience, and career interests of individuals with experience and education unique to the NASA mission in the technical and administrative fields who are considered to be candidates for key positions within NASA.</p>  | <p>RECORDS ARE RETAINED FOR VARYING PERIODS OF TIME DEPENDING ON THE NEED FOR USE OF THE FILES AND ARE DESTROYED OR OTHERWISE DISPOSED OF WHEN NO LONGER NEEDED.<br/>[GRS 20 — 3b (1)]</p>  |
| 3100         | <b>4</b>         | <p><b>INTERAGENCY PERSONNEL AGREEMENTS (IPA)</b></p> <p>Records in this series consist of confidential files which are assignment agreements authorized by the Intergovernmental Personnel Act of 1970, including all correspondence, the IPA form, and any other related documentation and materials. These files are typically filed by individual's last name and include IPA Form No. 5069 — 104 plus all associated background documentation.</p> <p>A. <u>RECORD COPY</u>.<br/>HQ:</p> <p>B. All other offices/copies.</p>   | <p>RETIRE TO FRC 2 YEARS AFTER TERMINATION DATE OF AGREEMENT. DESTROY WHEN 10 YEARS OLD.<br/>&lt;DA: N1 — 255-89-4&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-89-4&gt;</p>   |
| 3100         | <b>5</b>         | <p><b>EXECUTIVE POSITION FILES — PERFORMANCE FILES</b></p> <p>NOTE: Performance records pertaining to Presidential appointees are not covered under any of these schedule items nor the GRS. Such records, if any,</p>   |   |

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# HUMAN RESOURCES (PERSONNEL) RECORDS

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|--------------|-------------|---|--|
|              |             | <p>must be scheduled through the local Installation Records Manager and forwarded to the NASA Records Officer for submission and approval to the National Archives and Records Administration.</p> <p>A. Non-SES appointees (as defined in 5 U.S.C. 4301 (2)) including records on excepted positions.</p> <ol style="list-style-type: none"> <li>Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents.</li> <li>Performance records superseded through an administrative, judicial, or quasi-judicial procedure.</li> <li>Performance-related records pertaining to a former employee. <ol style="list-style-type: none"> <li>Latest rating of record 3 years old or less and performance plan upon which it is based and any summary rating.</li> <li>All other performance plans and ratings.</li> </ol> </li> <li>All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.</li> <li>Supporting documents.</li> </ol> <p>B. SES appointees (as defined in 5 U.S.C. 3132a(2)).</p> <ol style="list-style-type: none"> <li>Performance records superseded through an administrative, judicial, or quasi-judicial procedure.</li> <li>Performance-related records pertaining to a former SES appointee. <ol style="list-style-type: none"> <li>Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.</li> <li>All other performance ratings and plans</li> </ol> </li> </ol> | <p>DESTROY AFTER THE EMPLOYEE COMPLETES 1 YEAR OF ACCEPTABLE PERFORMANCE FROM THE DATE OF THE WRITTEN ADVANCE NOTICE OF PROPOSED REMOVAL OR REDUCTIN IN GRADE NOTICE.<br/>[GRS 1-23(a)(1)]</p> <p>DESTROY WHEN SUPERSEDED.<br/>[GRS 1-23a(2)]</p> <p>PLACE RECORDS ON LEFT SIDE OF THE OPF AND FORWARD TO GAINING FEDERAL AGENCY UPON TRANSFER OR TO NPRC IF EMPLOYEE SEPARATES (SEE ITEM 1b OF THIS SCHEDULE). AN AGENCY RETRIEVING AN OPF FROM NPRC WILL DISPOSE OF THESE DOCUMENTS IN ACCORDANCE WITH ITEM 5A3(b) OF THIS SCHEDULE<br/>[GRS 1-23a(3)(a)]</p> <p>DESTROY WHEN 4 YEARS OLD.<br/>[GRS 1-23a(3)(b)]</p> <p>DESTROY 4 YEARS AFTER DATE OF APPRAISAL.<br/>[GRS 1-23a(4)]</p> <p>DESTROY 4 YEARS AFTER DATE OF APPRAISAL.<br/>[GRS 1-23a(5)]</p> <p>DESTROY WHEN SUPERSEDED.<br/>[GRS 1-23b(1)]</p> <p>PLACE RECORDS ON LEFT SIDE OF THE OPF AND FORWARD TO GAINING FEDERAL AGENCY UPON TRANSFER OR TO NPRC IF EMPLOYEE LEAVES FEDERAL SERVICE (SEE ITEM 1b OF THIS SCHEDULE). AN AGENCY RETRIEVING AN OPF FROM NPRC WILL DISPOSE OF THOSE DOCUMENTS IN ACCORDANCE WITH ITEM 5B2(b) OF THIS SCHEDULE.<br/>[GRS 1-23b(2)(a)]</p> <p>DESTROY WHEN 5 YEARS OLD.</p> |

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# HUMAN RESOURCES (PERSONNEL) RECORDS

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|--------------|-------------|--|--|
|              |             | <p>3. All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).</p> <p>4. Supporting documents.</p>  | <p>[GRS 1-23b(2)(b)]</p> <p>DESTROY 5 YEARS AFTER DATE OF APPRAISAL<br/>[GRS 1-23b(3)]</p> <p>DESTROY 5 YEARS AFTER DATE OF APPRAISAL.<br/>[GRS 1-23b(4)]</p>  |
| 3100         | 6           | <p><b>NASA-CSC EXECUTIVE ASSIGNMENT FILES</b></p> <p>Standard Form 171 on each NASA employee GS-15 or over together with additional information gleaned from newspaper, house organs, etc. Also in some cases, security and confidential information.</p>  | <p>DESTROY 3 YEARS AFTER SEPARATION.<br/>&lt;DA: N1-255-89-4&gt; (N 15-49)</p>   |
| 3200         |             | <b>Personnel Provisions (General)</b>  | Contact Center Records Mgr.  |
| 3210         |             | <b>Basic Concepts and Definitions</b>  | Contact Center Records Mgr.  |
| 3211         |             | <b>Veteran's Preference</b>  | Contact Center Records Mgr.  |
| 3212         |             | <b>Competitive Service and Status</b>  | Contact Center Records Mgr.  |
| 3213         |             | <b>Excepted Service</b>  | Contact Center Records Mgr.  |
| 3230         |             | <b>Organization of the Government for Personnel Management</b>   | Contact Center Records Mgr.  |
| 3250         |             | <b>Personnel Management in Agencies</b>  | Contact Center Records Mgr.  |
| 3270         |             | <b>Direction and Control of the Personnel Program</b>  | Contact Center Records Mgr.  |
| 3271         |             | <b>Developing Policies, Procedures, Program, and Standards</b>   | Contact Center Records Mgr.  |
| 3272         |             | <b>Personnel Policy Formulation and Personnel Issuances</b>  | Contact Center Records Mgr.  |
| 3273         |             | <b>Inspections, Surveys, and Audits</b>  | (see below)  |
| 3273         | 7           | <p><b>MANPOWER SURVEY FILES</b></p> <p>Documents relating to appraisals, either onsite or by other review procedures, such as Manpower Audit Director's Review of Laboratories and Staff Offices.</p>  | <p>DESTROY 5 YEARS AFTER APPRAISAL IS CONDUCTED<br/>&lt;DA: N1-255-89-4&gt; (N 1-35)</p>   |
| 3274         |             | <b>Corrective Actions</b>  | Contact Center Records Mgr.  |
| 3275         |             | <b>Evaluation of Personnel Programs</b>  | Contact Center Records Mgr.  |
| 3280         |             | <b>Military Personnel</b>  | Contact Center Records Mgr.  |
| 3290         |             | <b>Personnel Records and Processing</b>  | (see below)  |
| 3290         | 8           | <p><b>NOTIFICATIONS OF PERSONNEL ACTIONS</b></p> <p>Standard Form 50 documenting initial employment, promotions, transfers, in or out, separation, and notification of all other individual personnel actions, exclusive of those in the Official Personnel Folders, including copies or equivalent, not filed in OPF.</p> <p>A. Chronological file copies, including fact sheets, maintained in personnel offices.</p> <p>B. All other copies maintained in personnel offices.</p> <p>C. Pay or fiscal copy. (NOT filed in OPF)</p> | <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 1-14a] (N 15-15)</p> <p>DESTROY WHEN 1 YEAR OLD.<br/>[GRS 1-14b]</p> <p>DESTROY WHEN RELATED PAY RECORDS ARE AUDITED BY GAO OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>[GRS 2-22c, 2-23a] (N 4-5)</p> |

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# HUMAN RESOURCES (PERSONNEL) RECORDS

## SCHEDULE 3 (AFS 3000-3999)

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|--------------|-------------|---|---|
| 3290         | 9           | <b>DUPLICATE COPIES — PERSONNEL FILES<br/>(MAINTAINED OUTSIDE PERSONNEL OFFICES)</b><br><br>Copies of documents duplicated in the OPF and not provided for elsewhere in this schedule (including employees and military detailees).<br>NOTE: Official file copies are maintained by personnel office.<br><br>A. <u>SUPERVISOR S PERSONNEL FILES</u><br>Correspondence, memoranda, forms and other records relating to positions, authorizations, pending actions, copies of position descriptions; requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.<br><br>B. <u>DUPLICATES</u><br>Other copies of documents duplicated in OPF s not provided for elsewhere in this schedule. | REVIEW ANNUALLY AND DESTROY SUPERSEDED OR OBSOLETE DOCUMENTS; OR DESTROY ALL DOCUMENTS RELATING TO AN INDIVIDUAL EMPLOYEE 1 YEAR AFTER SEPARATION OR TRANSFER.<br>[GRS 1-18a] (N 15-19)<br><br>DESTROY WHEN 6 MONTHS OLD<br>[GRS 1-18b] |
| 3291         |             | <b>Personnel Reports</b>  | Contact Center Records Mgr.   |
| 3292         |             | <b>Development of Personnel Statistics</b>  | (see below)   |
| 3292         | 10          | <b>STATISTICAL DATA / REPORT FILES</b><br><br>A. <u>MANPOWER DATA</u><br>Reports compilation or other documents created to provide a source of statistical data for use in manpower control activities.<br><br>B. <u>PERSONNEL OPERATIONS</u><br>Statistical reports in the operating personnel office and subordinate units relating to personnel.   | DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-89-4> (N 1-34)<br><br>DESTROY WHEN 2 YEARS OLD.<br>[GRS 1-16] (N 15-17)  |
| 3292         | 11          | <b>EMPLOYEE RECORD CARDS</b><br><br>Employee record cards used for information purposes outside personnel offices (such as SF 7-B, or Agency internal form).  | DESTROY ON SEPARATION OR TRANSFER OF EMPLOYEE.<br>[GRS 1-6] (N 15-5)  |
| 3293         |             | <b>Personnel Records and Files</b>  | Contact Center Records Mgr.   |
| 3294         |             | <b>Release of Personnel Information</b>   | Contact Center Records Mgr.   |
| 3295         |             | <b>Personnel Forms and Documents</b>  | Contact Center Records Mgr.   |
| 3296         |             | <b>Processing Personnel Actions</b>   | Contact Center Records Mgr.   |
| 3300         |             | <b>Employment (General)</b>   | (see below)   |
| 3300         | 12          | <b>COMPETITIVE PLACEMENT PLAN (CCP) FILES</b><br><br>Records consist of files used to advertise vacancy announcements and other related documentation which may include but is not limited to the announcement, materials related to the job/position selection, and the vacancy itself.  | RETAIN ON-SITE WITHIN THE PERSONNEL OFFICE AND DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-89-4>   |
| 3300         | 13          | <b>EMPLOYMENT APPLICATIONS</b><br><br>Applications (Standard Form 171, OF 612, etc.) and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the OPF.  | DESTROY UPON RECEIPT OF OPM INSPECTION REPORT OR WHEN 2 YEARS OLD, WHICHEVER IS EARLIER.<br>[GRS 1-15] (N 15-16)  |

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|--------------|-------------------|--|--|
| 3300         | <b>14</b>         | <b>NASA SPECIAL EMPLOYMENT PROGRAM FILES</b><br><br>Applications and correspondence for student aids, summer employees, and co-ops.  | DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-89-4> (N 15-50)   |
| 3300         | <b>15</b>         | <b>UTILIZATION REPORTS — EXPERTS AND CONSULTANTS</b><br><br>Quarterly and annual reports to OPM relating to the employment and utilization of experts and consultants.   | RETAIN UNTIL EXAMINED BY OPM OR DESTROY WHEN 10 YEARS OLD, WHICHEVER IS SOONER.<br><DA: N1-255-89-4>   |
| 3300         | <b>16</b>         | <b>CERTIFICATE OF ELIGIBLES FILES</b><br><br>Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a non-preference eligible.  | DESTROY WHEN 2 YEARS OLD.<br>[GRS 1-5] (N 15-4)  |
| 3300         | <b>17</b>         | <b>SERVICE RECORD CARD</b><br><br>Service Record Card (Standard Form 7 or its equivalent). Cards showing service records of employees separated or transferred.<br><br>A. Cards for employees separated or transferred on or before December 31, 1947.<br><br>B. Cards for employees separated or transferred on or after January 1, 1948.   | TRANSFER TO NPRC, ST. LOUIS, MO. DESTROY 60 YEARS AFTER EARLIEST PERSONNEL ACTION DATE.<br>[GRS 1-2a] (N 15-2)<br><br>DESTROY 3 YEARS AFTER SEPARATION OR TRANSFER OF EMPLOYEE.<br>[GRS 1-2b]  |
| 3300         | <b>18</b>         | <b>OUTSIDE EMPLOYMENT FILES</b><br><br>Documents relating to outside work or services performed by NASA employees in addition to their official duties.  | DESTROY 3 YEARS AFTER TERMINATION OF APPROVED EMPLOYMENT OR 3 YEARS AFTER DISAPPROVAL OF OUTSIDE EMPLOYMENT.<br><DA: N1-255-89-4> (N 15-24)  |
| 3300         | <b>19</b><br>PASR | <b>SPECIAL PERSONNEL RECORDS — NASA 10 SPER</b><br><br>Individuals covered by this system of records are candidates for and recipients of awards or NASA training, civilian and active duty military detailees to NASA; participants in enrollee programs; Faculty, Science, National Research Council and other Fellows, Associates and Guest Workers including those at NASA Installations but not on NASA rolls; NASA contract and grant awardees and their associates having access to NASA premises and records; individuals with interest in NASA matters including Advisory Committee Members; and, prospective employees. Categories include:<br><ul style="list-style-type: none"><li>• Special Program Files.</li><li>• Correspondence and related information to these files.</li><li>• Special records and rosters.</li><li>• Agencywide and installation automated personnel information.</li></ul> | "10 SPER" RECORDS ARE NOT AUTHORIZED FOR DISPOSAL AT THIS TIME.<br><br>PAPER RECORDS ARE RETAINED ON SITE AND ARE DESTROYED OR TRANSFERRED IN ACCORDANCE WITH THE SPECIFIC RECORD SERIES IDENTIFIED IN THIS SCHEDULE.<br><br>10 PAYS RECORDS — SEE SCHEDULE 9 (NOTE THESE RECORDS ARE RETAINED FROM 1 TO 3 YEARS DEPENDING ON GAO AUDIT AND/OR DESTROYED OR TRANSFERRED TO NPRC).<br><DA: N1-255-89-4> |

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|--------------|-------------|--|--|
|              |             |  |  |
| 3301         |             | <b>Overseas Employment</b>   | Contact Center Records Mgr.  |
| 3302         |             | <b>Employment in the Excepted Services</b>   | Contact Center Records Mgr.  |
| 3303         |             | <b>Military Service Obligation and Draft Deferment</b>   | Contact Center Records Mgr.  |
| 3304         |             | <b>Employment of Experts and Consultants</b>   | Contact Center Records Mgr.  |
| 3305         |             | <b>Dual Employment and Dual Compensation</b>   | Contact Center Records Mgr.  |
| 3306         |             | <b>Personal Service Contracts</b>  | Contact Center Records Mgr.  |
| 3307         |             | <b>Detainees</b>   | Contact Center Records Mgr.  |
| 3310         |             | <b>Authority for and Tenure of Employment</b>  | Contact Center Records Mgr.  |
| 3311         |             | <b>Power of Appointment and Removal</b>  | (see below)  |
| 3311         | 20          | <b>OFFERS OF EMPLOYMENT (APPOINTMENT)</b><br><br>Correspondence, letters, and telegrams offering appointments to potential employees.<br><br>A. <u>ACCEPTED OFFERS</u> .<br><br>B. <u>DECLINED OFFERS</u> .<br><br>1. When name is received from certificate of eligibles.<br><br>2. Temporary or excepted appointment.<br><br>3. All others.  | DESTROY WHEN APPOINTMENT IS EFFECTIVE.<br>[GRS 1-4a] (N 15-3)<br><br>RETURN TO OPM WITH REPLY AND APPLICATIONS.<br>[GRS 1-4b(1)]<br><br>FILE WITH APPLICATION (SEE ITEM 13 OF THIS SCHEDULE).<br>[GRS 1-4b(2)]<br><br>DESTROY IMMEDIATELY.<br>[GRS 1-4b(3)]  |
|              |             |  |  |
| 3312         |             | <b>Position Control</b>  | (see below)  |
| 3312         | 21          | <b>MANPOWER REPORTS</b><br><br>A. <u>AUTHORIZATION FILES</u><br>Documents and supporting papers relating to the allocation of manpower spaces to successive echelons.<br><br>1. Office of Primary Responsibility.<br><br>2. All other offices/copies.<br><br>B. <u>REPORTS</u><br>Reports from field installations to NASA Headquarters concerning manpower, and all related papers.<br><br>1. Field Installations<br><br>2. Headquarters. (SEE ITEM c. BELOW) | *PERMANENT*<br>RETIRE TO FRC WHEN 3 YEARS OLD.<br>TRANSFER TO NARA WHEN 10 YEARS OLD.<br><DA: N1-255-89-4> (N 1-36)<br><br>DESTROY WHEN OBSOLETE OR SUPERSEDED.<br><DA: N1-255-89-4><br><br>RETIRE TO FRC WHEN 3 YEARS OLD.<br>DESTROY WHEN 10 YEARS OLD.<br><DA: N1-255-89-4> (N 1-37)<br><br>DESTROY WHEN 2 YEARS OLD<br><DA: N1-255-89-4> |

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|--------------|-------------|--|---|
|              |             | <b>C. HEADQUARTERS</b><br>Reports compiled from information received from installations (See b. above)<br><br>1. Headquarters — Agency Level.<br><br><br>2. All other offices/copies.  | *PERMANENT*<br>OPR: RETIERE TO FRC WHEN 5 YEARS OLD. TRANSFER TO NARA WHEN 10 YEARS OLD.<br><DA: N1-255-89-4> (N 1-38)<br><br>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE USE, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br><DA: N1-255-89-4> |
| <b>3315</b>  |             | <b>Career and Career-Conditional Employment</b>  | (see below)   |
| 3315         | <b>22</b>   | <b>PUBLIC SERVICE CAREERS EMPLOYEES FILES</b><br><br>A. <u>INDIVIDUALS</u><br>School evaluations, supervisory evaluations, and test scores.<br><br>B. <u>PROGRAMS</u><br>Correspondence with Civil Service Commission, Department of Labor Southwest Training Center, etc. | DESTROY WHEN 3 YEARS OLD<br><DA: N1-255-89-4> (N 15-51)<br><br>DESTROY WHEN 3 YEARS OLD.<br><DA: N1-255-89-4>   |
| <b>3316</b>  |             | <b>Temporary and Indefinite Employment</b>   | (see below)   |
| 3316         | <b>23</b>   | <b>Temporary Individual Employee Records</b><br><br>All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of The Guide to Personnel Recordkeeping , EXCLUDING performance related records.      | DESTROY WHEN SUPERSEDED OR OBSOLETE, OR UPON SEPARATION OR TRANSFER OF EMPLOYEE, UNLESS SPECIFICALLY REQUIRED TO BE TRANSFERRED WITH THE OPF.<br>[GRS 1-10a] (N 15-8)   |
| <b>3317</b>  |             | <b>Senior Executive Service Career Appointee Merit Staffing</b>  | Contact Center Records Mgr.   |
| <b>3319</b>  |             | <b>Management of Senior Scientific and Technical and Other Senior Level Positions</b>  | Contact Center Records Mgr.   |
| <b>3330</b>  |             | <b>Recruitment, Selection, and Placement</b>   | (see below)   |
| 3330         | <b>24</b>   | <b>NASA OUTPLACEMENT PROGRAM</b><br><br>Applications, resumes, vacancy announcements and related correspondence.   | DESTROY 2 YEARS AFTER REGISTRATION<br><DA: N1-255-89-4> (N 15-47)   |
| <b>3331</b>  |             | <b>Organization for Recruitment and Examining</b>  | Contact Center Records Mgr.   |
| <b>3332</b>  |             | <b>Recruitment and Selection Through Competitive Examination</b>   | Contact Center Records Mgr.   |
| <b>3333</b>  |             | <b>Recruitment and Selection for Temporary and Term Appointment Outside the Register</b>   | Contact Center Records Mgr.   |
| <b>3334</b>  |             | <b>Personnel Mobility Agreements Under Title IV of the Intergovernmental Personnel Act (IPA) of 1970</b>   | Contact Center Records Mgr.   |
| <b>3335</b>  |             | <b>Promotion and Internal Placement</b>  | (see below)   |
| 3335         | <b>25</b>   | <b>PROMOTION REGISTER FILES</b><br><br>Registers or records of job opportunities, application and evaluation statements, and all related papers.   | DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-89-4> (N 15-25)  |
| 3335         | <b>26</b>   | <b>REPROMOTION CONSIDERATION FILES</b>   |   |

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# HUMAN RESOURCES (PERSONNEL) RECORDS

## SCHEDULE 3 (AFS 3000-3999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>                                      |
|--------------|-------------|---|---|
|              |             | Applications and correspondence to and from repromotion eligibles.  | DESTROY AFTER REPROMOTION IS ACCOMPLISHED.<br><DA: N1-255-89-4> (N 15-45)         |
| 3337         |             | <b>Examining System</b>   | Contact Center Records Mgr.   |
| 3338         |             | <b>Qualification Requirements -- General</b>  | Contact Center Records Mgr.   |
| 3339         |             | <b>Qualification Requirements -- Medical</b>  | Contact Center Records Mgr.   |
| 3340         |             | <b>Transfers</b>  | Contact Center Records Mgr.   |
| 3350         |             | <b>Job Retention</b>  | (see below)   |
| 3350         | 27          | <b>LENGTH OF SERVICE AND SICK LEAVE AWARD FILES</b><br><br>Records including correspondence, memoranda reports, computations of service and sick leave, and list of awardees.   | DESTROY WHEN 1 YEAR OLD.<br>[GRS 1-12b]   |
|              | 28          | <b>Reserved</b>   |   |
| 3350         | 29          | <b>CIVILIAN SERVICE EMPLEM CONTROL FILE</b><br><br>Records maintained to control the record of eligibility for an award of civilian service emblems.  | DESTROY WHEN 3 YEARS OLD.<br><DA: N1-255-89-4> (N 15-13)                          |
| 3351         |             | <b>Reduction in Force (RIF)</b>   | Contact Center Records Mgr.   |
| 3352         |             | <b>Reemployment Rights</b>  | (see below)   |
| 3352         | 30          | <b>REEMPLOYMENT PRIORITY FILES</b><br><br>Applications, exceptions, and correspondence related to reemployment.   | DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-89-4> (N 15-46)                          |
| 3353         |             | <b>Restoration after Military Duty</b>  | Contact Center Records Mgr.   |
| 3400         |             | <b>Employee Performance and Utilization</b>   | (see below)   |
| 3400         | 31          | <b>PERFORMANCE AND COMPETENCE FILES</b><br><br>Copies of case files (duplicates) of performance rating boards or review, and acceptable level of competence reconsiderations, copies of which have been forwarded to OPM.   | DESTROY 1 YEAR AFTER CASE IS CLOSED.<br>[GRS 1-9] (N 15-10)                       |
| 3400         | 32          | <b>PH.D. THESES FILES — NASA HEADQUARTERS ONLY</b><br><br>Individual copies of dissertations resulting from NASA predoctoral traineeship program. No other copies are retained.   | RETIRE TO FRC WHEN 2 YEARS OLD.<br>DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-89-4> |
| 3400         | 33          | <b>TRAINING RECORDS/FILES — GENERAL</b><br><br>EXCLUDING records of formally established schools which train agency employees in specialized program areas, such as law enforcement and national defense.<br><br>A. <u>ANNOUNCEMENT FILES</u><br>Correspondence, announcements, reference file of pamphlets, notices, catalogs, and other records relating to or which provides information to training courses or programs offered by government or non-government organizations/institutions, but are not a part of a separate case file.<br><br>1. Office responsible for announcements. | DESTROY WHEN 5 YEARS OLD OR   |

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|--------------|-------------|---|---|
|              |             | <p>2. All other offices/copies.</p> <p><b>B. <u>ROSTERS</u></b></p> <p>1. Rosters or training attendance lists from training courses or programs offered by government or non-government/institutions in any media, hardcopy or electronic.</p> <p>2. Rosters or registers (ASEE/LARSS) (LaRC ONLY).<br/>These are the records for the 2 summer programs sponsored by the Office of University Affairs at Langley Research Center.<br/>[ASEE = American Society of Engineering Education]<br/>[LARSS = Langley Aerospace Summer Scholars Program]</p> <p>3. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records.</p>   | <p>WHEN SUPERSEDED OR OBSOLETE, WHICHEVER IS SOONER.<br/>[GRS 1-20(b)] (N 15-40)</p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN SUPERSEDED OR OBSOLETE, OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-89-4&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-00-2&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-89-4&gt;</p> <p>DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED.<br/>&lt;DA: N1-255-00-2&gt;</p>   |
|              |             | <p><b>C. <u>CONTRACT TRAINING FILES</u></b></p> <p>1. Copies of contracts, correspondence, approvals, waivers, and other documents relating to NASA employees training under contracts.</p> <p>2. Background, working papers, announcements, and arrangements of, subject contract training.</p> <p>3. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records.</p> <p><b>D. <u>NON-CONTRACT TRAINING FILES</u></b></p> <p>Applications, acceptances, and all other documents relating to non-contract training of NASA employees.</p> <p><b>E. <u>TRAINING AIDS</u></b></p> <p>All training aids, including the record copy of manuals, syllabuses, textbooks, and other original training aids developed by the agency, either published or unpublished, in instructing NASA training courses.</p> <p>1. Unique or significant training material(s) developed specifically for use in training NASA courses that would be unique to the Agency. (i.e., Astronaut; Shuttle processing; Payload processing; On-board Flight crew training; etc.)</p> <p>2. Routine or copies of training materials used to teach an Agency sponsored training class.</p> | <p>DESTROY WHEN 3 YEARS OLD OR 3 YEARS AFTER COMPLETION OF A SPECIFIC TRAINING PROGRAM.<br/>&lt;DA: N1-255-00-2&gt; (N 15-32)</p> <p>DESTROY WHEN 3 YEARS OLD.<br/>&lt;DA: N1-255-89-4&gt;</p> <p>DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED.<br/>&lt;DA: N1-255-00-2&gt;</p> <p>DESTROY WHEN 3 YEARS OLD.<br/>&lt;DA: N1-255-89-4&gt; (N 15-33)</p> <p><b>*PERMANENT*</b><br/>RETIRE TO FRC WHEN SUPERSEDED, OBSOLETE, OR WHEN NO LONGER USED. TRANSFER TO NARA WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-89-4&gt; (N 15-39)</p> <p>DESTROY WHEN SUPERSEDED OR OBSOLETE OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-89-4&gt;</p> |

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# HUMAN RESOURCES (PERSONNEL) RECORDS

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|--------------|-------------|---|---|
|              |             | <p>3. All other copies.</p> <p>F. <u>AGENCY-SPONSORED TRAINING FILES</u><br/>General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the Agency (see E. above).</p> <p>1. Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses, and conferences.</p> <p>2. Background and working files.</p> <p>G. <u>TECHNICAL TRAINING</u></p> <p>1. Case files on NASA personnel participating in technical training programs not covered in 2 below.</p> <p>2. Case files related to NASA and contractor personnel participating in NASA-required training programs for certification, such as soldering, optics, flight controllers, divers, etc. Records may include statements of certification, sign off documents, and task experience.</p> <p>3. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records.</p> <p>H. <u>ON-THE-JOB TRAINING (OJT)</u><br/>Employee training plans or substantial equivalent record maintained to identify required skill or task training requirements and to document developmental assignments, OJT, or other training. These are general training requirements other than technical/certification training (see paragraph G. above). Cutoff date is date of document.</p> <p>1. Recordkeeping copy (paper).</p> <p>2. Electronic copy.</p> | <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-89-4&gt;</p> <p>DESTROY WHEN 5 YEARS OLD OR 5 YEARS AFTER COMPLETION OF A SPECIFIC TRAINING PROGRAM.<br/>[GRS 1-29a(1)]</p> <p>DESTROY WHEN 3 YEARS OLD.<br/>[GRS 1-29a(2)]</p> <p>DESTROY 5 YEARS AFTER EMPLOYEE DISCONTINUES OR COMPLETES TRAINING.<br/>&lt;DA: N1-255-89-4&gt; (N 15-38)</p> <p>DESTROY 5 YEARS AFTER SEPARATION OF EMPLOYEE OR WHEN NO LONGER NEEDED.<br/>&lt;DA: N1-255-00-2&gt;</p> <p>DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED.<br/>&lt;DA: N1-255-00-2&gt;</p> <p>DESTROY ON TRANSFER OR SEPARATION OF EMPLOYEE, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-99-1&gt;</p> <p>DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED.<br/>&lt;DA: N1-255-99-1&gt;</p> |
| <b>3410</b>  |             | <b>Employee Development (Training)</b>  | (see below)   |
| 3410         | <b>34</b>   | <b>TRAINING AGREEMENT FILES</b><br><br>Agreements between Civil Service Commission (CSC) and NASA pertaining to training, training standards, and all related documents.  | DESTROY 3 YEARS AFTER TERMINATION OF AGREEMENT.<br><DA: N1-255-89-4> (N 15-34)  |
| 3410         | <b>35</b>   | <b>COOPERATIVE TRAINING FILES</b><br><br>A. General training case files (not covered in Items 1b-d) by trainee showing history of training and all related documentation.   | DESTROY RECORDS 3 YEARS AFTER TRAINEE CEASES TRAINING.  |

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|--------------|-------------|--|---|
|              |             | <p>B. Secretarial Co-op Files (2-year program)<br/>Files consist of documentation and materials related to students in the program and are considered training records. Case files may consist of, but are not limited to, copies of the following documentation: SF 52 s, transcripts; progress reports from supervisors; and any other documentation related to the individual in the program.</p> <p>C. Apprenticeship Program (5-year program)<br/>Files consist of documentation and materials related to students in the program and are considered training records. Case files consist of, but are not limited to, copies of the following documentation: SF 52 s; transcripts; progress reports from supervisors; and any other documentation related to the individual in the program.</p> <p>D. Engineering and Administrative Co-Ops (Professional) Case Files (5-year program) (LaRC ONLY)<br/>Records in this series consist of SF 52 s; copies of 171 s; transcripts; progress reports; supervisory comments and/or recommendations; and certificates of completion of the program.</p> | <p>&lt;DA: N1-255-92-10&gt; (N 15-35)</p> <p>RECORDS MAY BE RETIRED TO FRC WITHIN 1-YEAR AFTER COMPLETION OF THE PROGRAM. DESTROY RECORDS WHEN 3 YEARS OLD (PROGRAM RECORDS WILL THEN BE 5 YEARS OLD).<br/>&lt;DA: N1-255-92-10&gt;</p> <p>RECORDS MAY BE RETIRED TO FRC 1-YEAR AFTER COMPLETION OF THE PROGRAM. DESTROY 3 YEARS AFTER COMPLETION OR TERMINATION OF THE PROGRAM. (PROGRAM RECORDS WILL THEN BE 8 YEARS OLD.)<br/>&lt;DA: N1-255-92-10&gt;</p> <p>RECORDS MAY BE RETIRED TO FRC 1-YEAR AFTER COMPLETION OF THE PROGRAM. DESTROY RECORDS 5 YEARS AFTER COMPLETION OR TERMINATION OF THE PROGRAM (PROGRAM RECORDS WILL THEN BE 10 YEARS OLD.)<br/>&lt;DA: N1-255-92-10&gt;</p> |
| 3410         | 36          | <p><b>COOPERATIVE PROGRAM SUMMARY FILES (LaRC ONLY)</b></p> <p>Records in this series consist of profile sheets (cards) that contain information on individuals for files that have been destroyed. These records are summary cards of their history and information originally contained in the case files identified as Secretarial; Apprenticeship Program; and, Engineering and Administrative Co-Ops. These records are not the case file records. Records can exist in either paper or electronic format (including but not limited to, printouts and data maintained on personal computers).</p>  | <p>DESTROY RECORDS WHEN 25 YEARS OLD, REGARDLESS OF MEDIUM IN WHICH MAINTAINED.<br/>&lt;DA: N1-255-92-16&gt;</p>  |
| 3410         | 37          | <p><b>GRADUATE STUDY PROGRAM RECORDS</b></p> <p>Records in this series consist of case files of individuals who apply to graduate programs and are accepted. Files may contain copies of transcripts, 171 s, letters of authorization to take courses, registration, and applications for graduate study. This is considered a working file and includes records in the Professional Co-Op Educational Training Program (CPETP); the Professional Entrance Training Program (PETP); and the Administrative Training Program (ATP).</p>   | <p>RETIRE TO FRC 2 YEARS AFTER COMPLETION OR TERMINATION OF STUDY PROGRAM. DESTROY 8 YEARS AFTER COMPLETION OR TERMINATION OF THE PROGRAM.<br/>&lt;DA: N1-255-92-11&gt;</p>   |
| 3410         | 38          | <p><b>TRAINING — REPORT FILES</b></p> <p>A. Reports form Field Installations to NASA Headquarters concerning training and all related papers.</p> <p>1. Field Installations.</p> <p>2. Headquarters.</p>   | <p>DESTROY WHEN 3 YEARS OLD.<br/>&lt;DA: N1-255-89-4&gt; (N 15-37)</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>&lt;DA: N1-255-89-4&gt;</p>   |

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|--------------|-------------|--|---|
|              |             | B. Reports compiled from information received from Installations (item a. above).<br><br>1. Field Installations and all other offices/copies<br><br>2. Headquarters.   | DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br><DA: N1-255-89-4> (N 15-36)<br><br>DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-89-4>  |
| <b>3430</b>  |             | <b>Performance Evaluation (Appraisals)</b>   | Contact Center Records Mgr.   |
| <b>3450</b>  |             | <b>Employee Recognition and Incentives</b>   | Contact Center Records Mgr.   |
| <b>3451</b>  |             | <b>Incentive Awards</b>  | (see below)   |
| 3451         | <b>39</b>   | <b>AWARDS PUBLICITY FILES</b><br><br>Documents used in publicizing or encouraging participation in awards programs, including posters, cartoons, placards, and all other means of obtaining attention and announcing results of the programs and all other related papers.   | DESTROY WHEN 3 YEARS OLD.<br><DA: N1-255-89-4> (N 15-14)  |
| 3451         | <b>40</b>   | <b>AWARDS AND PROGRAM FILES — EMPLOYEE</b><br><br>A. <u>AWARD CASE FILES</u><br><br>1. Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to agency-sponsored cash and non-cash awards, such as incentive awards, within-grade merit increases, suggestions, and outstanding performance awards.<br><br>2. Correspondence or memoranda pertaining to awards from other government agencies or private organizations.<br><br>3. Reports pertaining to the operation of the Incentive Awards Program. Including statistical data and other documentation pertaining to the program.<br><br>B. <u>LENGTH OF SERVICE AND SICK LEAVE AWARD FILES</u><br><br>C. <u>LETTERS OF COMMENDATION AND APPRECIATION</u><br>Copies of letters recognizing length of service and retirement, and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.<br><br>D. <u>AGENCY AWARD NOMINATIONS</u><br>Records consist of lists or indexes of nominees and/or winners to Agency Award Nominations.<br><br>E. <u>DEPARTMENT LEVEL AWARD FILES</u><br>Records relating to awards made at the Departmental Level or higher, i.e., Secretary s Awards, Presidential, etc.<br><br>F. <u>BENEFICIAL SUGGESTIONS</u><br>Suggestions and reports made thereon and related to. | DESTROY 2 YEARS AFTER APPROVAL OR DISAPPROVAL.<br>[GRS 1-12a(1)]<br><br>DESTROY WHEN 2 YEARS OLD.<br>[GRS 1-12a(2)]<br><br>DESTROY WHEN 3 YEARS OLD.<br>[GRS 1-13]<br><br>SEE ITEM 27 OF THIS SCHEDULE.<br><br>DESTROY WHEN 2 YEARS OLD.<br>[GRS 1-12c]<br><br>DESTROY WHEN SUPERSEDED OR OBSOLETE.<br>[GRS 1-12d]<br><br>RETIRE TO FRC WHEN 5 YEARS OLD.<br>DESTROY WHEN 15 YEARS OLD.<br><DA: N1-255-89-4><br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-89-4> (N 1-91) |

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|--------------|-------------|---|--|
| 3452         |             | <b>Suggestion System</b>  | Contact Center Records Mgr.  |
| 3500         |             | <b>Position Classification, Pay, and Allowances</b>   | (see below)  |
| 3500         | 41          | <b>POSITION DESCRIPTIONS</b><br><br>Files describing established positions including information on title, series, grade, duties and responsibilities.<br><br>A. <u>RECORD COPY</u><br><br>B. <u>ALL OTHER OFFICES/COPIES</u>   | DESTROY 2 YEARS AFTER POSITION IS ABOLISHED OR DESCRIPTION SUPERSEDED.<br>[GRS 1-7b] (N 15-6)<br><br>DESTROY WHEN POSITION IS ABOLISHED OR DESCRIPTION SUPERSEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br><DA: N1-255-89-4>   |
| 3500         | 42          | <b>CLASSIFICATION RECORDS</b><br><br>A. <u>SURVEYS</u><br><br>1. Classification survey reports on various positions prepared by classification specialists, including periodic reports.<br><br>2. Inspection, audit and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.<br><br>B. <u>APPEALS</u><br><br>1. Case files relating to classification appeals, excluding OPM classification certificate.<br><br>2. Certificates of classification issued by OPM. | DESTROY WHEN 3 YEARS OLD OR 2 YEARS AFTER REGULAR INSPECTION, WHICHEVER IS SOONER.<br>[GRS 1-7c(1)] (N 15-21)<br><br>DESTROY WHEN OBSOLETE OR SUPERSEDED.<br>[GRS 1-7c(2)]<br><br>DESTROY 3 YEARS AFTER CASE IS CLOSED.<br>[GRS 1-7d(1)]<br><br>DESTROY AFTER AFFECTED POSITION IS ABOLISHED OR SUPERSEDED.<br>[GRS 1-7d(2)] |
| 3500         | 43          | <b>LEVY AND GARNISHMENT FILES</b><br><br>Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.   | DESTROY 3 YEARS AFTER GARNISHMENT IS TERMINATED.<br>[GRS 2-18] (N 4-17)  |
| 3510         |             | <b>Position Classification and Job Evaluation</b>   | (see below)  |
| 3510         | 44          | <b>POSITION IDENTIFICATION STRIPS</b><br><br>Strips such as the former Standard Form 7D used to provide summary data on each position occupied.   | DESTROY WHEN SUPERSEDED OR OBSOLETE.<br>[GRS 1-11] (N 15-9)  |
| 3511         |             | <b>Position Classification Under the Classification Act System</b>  | Contact Center Records Mgr.  |
| 3512         |             | <b>Job Evaluation Under Prevailing Rate System</b>  | Contact Center Records Mgr.  |
| 3513         |             | <b>Employee Classification Appeals</b>  | Contact Center Records Mgr.  |
| 3515         |             | <b>Classification -- Excepted Positions</b>   | Contact Center Records Mgr.  |

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# HUMAN RESOURCES (PERSONNEL) RECORDS

## SCHEDULE 3 (AFS 3000-3999)

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| <u>AFS #</u> | <u>ITEM</u>       | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------------|--|---|
| <b>3530</b>  |                   | <b>Pay Rates and Systems (General)</b>   | (see below)   |
| 3530         | <b>45</b>         | <b>PAY TABLES</b><br><br>Records and files consisting of official record sets of pay tables.   | DESTROY UPON DISCONTINUANCE AND DISESTABLISHMENT OF INSTALLATION.<br><DA: N1-255-89-4> (N 4-19)   |
| <b>3531</b>  |                   | <b>Pay Under the Classification Act System</b>   | Contact Center Records Mgr.   |
| <b>3532</b>  |                   | <b>Pay Under Prevailing Rate System</b>  | Contact Center Records Mgr.   |
| <b>3534</b>  |                   | <b>Pay Under Other Systems</b>   | Contact Center Records Mgr.   |
| <b>3537</b>  |                   | <b>Critical Position Pay Authority</b>   | Contact Center Records Mgr.   |
| <b>3539</b>  |                   | <b>Conversions Between Pay Systems</b>   | Contact Center Records Mgr.   |
| <b>3550</b>  |                   | <b>Pay Administration (General)</b>  | (see below)   |
| 3550         | <b>46</b>         | <b>PAYROLL RECORDS</b><br><br>A. <u>ADMINISTRATIVE REPORT FILES</u><br>Reports, statistics, with supporting and related records pertaining to payroll operations and pay administration.<br><br>1. Reports and data used for workload and personnel management purposes.<br><br>2. Reports providing fiscal information on agency payroll.<br><br>3. Error reports, ticklers, system operation reports.<br><br>4. All other reports and data.<br><br>B. <u>PAYROLL FILES</u> INCLUDING:<br><br>PAYROLL CONTROL FILES<br><br>PAYROLL CHANGE FILES | DESTROY WHEN 2 YEARS OLD.<br>[GRS 2-22b]<br><br>DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br>[GRS 2-22c]<br><br>DESTROY WHEN RELATED ACTIONS ARE COMPLETED OR WHEN NO LONGER NEEDED, NOT TO EXCEED 2 YEARS.<br>[GRS 2-22a]<br><br>DESTROY WHEN 3 YEARS OLD.<br>[GRS 2-22]<br><br>SEE SCHEDULE 9<br>FINANCIAL MANAGEMENT RECORDS                               |
| 3550         | <b>47</b><br>PASR | <b>PAYROLL SYSTEM — NASA 10 PAYS</b><br><br>Records in this system include payroll, employee leave, insurance, labor and human resource distribution, and overtime information.  | RECORDS ARE RETAINED FOR AUDIT BY THE GENERAL ACCOUNTING OFFICE AND ARE TRANSFERRED TO THE NATIONAL PERSONNEL RECORDS CENTER, 111 WINNEBAGO STREET, ST. LOUIS, MO 63118, ANYWHERE FROM 1 TO 3 YEARS. THOSE TRANSFERRED TO NPRC WILL BE DESTROYED WHEN 10 YEARS OLD BY NPRC. SEE EACH RECORD CATEGORY WITHIN THIS SCHEDULE FOR SPECIFIC INSTRUCTIONS ON EACH RECORD SERIES.<br>[GRS 2] |

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|--------------|-------------|--|---|
| 3553         |             | <b>Waiver of Pay/Retirement Reduction for Military or Civilian Retirees</b>  | Contact Center Records Mgr.   |
| 3571         |             | <b>Travel and Transportation for Recruitment</b>   | Contact Center Records Mgr.   |
| 3590         |             | <b>Allowances and Differentials</b>  | Contact Center Records Mgr.   |
| 3591         |             | <b>Allowances and Differentials Payable in Non-Foreign Areas</b>   | Contact Center Records Mgr.   |
| 3592         |             | <b>Overseas Allowances and Post Differentials</b>  | Contact Center Records Mgr.   |
| 3593         |             | <b>Subsistence, Quarters, and Laundry</b>  | Contact Center Records Mgr.   |
| 3594         |             | <b>Allowances for Uniforms</b>   | Contact Center Records Mgr.   |
| 3600         |             | <b>Time and Attendance</b>   | (see below)   |
| 3600         | 48          | <b>TIME AND ATTENDANCE REPORTS</b><br><br>A. All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (i.e., OF 1130); flexitime records; leave applications for jury and military duty, authorized premium pay or overtime, maintained at duty post. Records may be in either machine readable or paper form.<br><br>1. Payroll preparation and processing copies.<br><br>2. All other copies (including those as maintained by timekeepers). Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by the agency or a payroll processor (separate company/organ).<br><br>B. Flexitime Attendance Records<br>Supplemental time and attendance records, such as sign-in/sign-out sheets and work reports, used for time accounting under Flexitime systems. | DESTROY AFTER GAO AUDIT OR WHEN 6 YEARS OLD, WHICHEVER IS SOONER.<br>[GRS 2-7] (N 4-2)<br><br>DESTROY AFTER GAO AUDIT OR WHEN 6 YEARS OLD, WHICHEVER IS SOONER.<br>[GRS 2-8]<br><br>SEE DISPOSITION A.2 ABOVE.  |
| 3610         |             | <b>Hours of Duty</b>   | Contact Center Records Mgr.   |
| 3630         |             | <b>Absence and Leave</b>   | (see below)   |
| 3630         | 49          | <b>LEAVE RECORDS</b><br><br>A. <u>LEAVE REQUESTS/APPLICATIONS</u><br>Application for leave, SF 71, or equivalent and supporting papers relating to request for and approval of taking leave.<br><br>1. If time card or equivalent has been initialed by employee.<br><br>2. If timecard or equivalent has <u>not</u> been initialed by employee.<br><br>B. <u>LEAVE DATA FILES</u><br>Record of employee leave, such as SF 1150, prepared upon transfer or separation.<br><br>1. Original copy of SF 1150.<br><br>2. Creating agency copy, when maintained.<br><br>D. <u>DONATED LEAVE PROGRAM</u><br>Case files documenting the receipt and donation of leave for medical   | DESTROY AT END OF FOLLOWING PAY PERIOD.<br>[GRS 2-6a] (N 4-3)<br><br>DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER<br>[GRS 2-6b]<br><br>FILE ON RIGHT SIDE OF OPF. SEE ITEM 1 OF THIS SCHEDULE.<br>[GRS 2-9a] (N 4-4)<br><br>DESTROY WHEN 3 YEARS OLD.<br>[GRS 2-9b]<br><br>BEGINNING IN JANUARY 1994, |

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|--------------|-------------|--|---|
|              |             | emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.   | DESTROY CLOSED CASES ONE YEAR AFTER THE END OF THE YEAR IN WHICH THE FILES ARE CLOSED.<br>[GRS 1-37]  |
| <b>3700</b>  |             | <b>Personnel Relations and Services</b>  | (see below)   |
| 3700         | <b>51</b>   | <b>COMMENDATION/COMPLAINT CORRESPONDENCE FILES</b><br><br>Anonymous letters, letters of commendation, complaint, criticism, and suggestions and replies thereto, excluding those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records.   | DESTROY WHEN 3 MONTHS OLD.<br>[GRS 14-5]  |
| <b>3710</b>  |             | <b>Personnel Relations</b>   | (see below)   |
| 3710         | <b>52</b>   | <b>LABOR MANAGEMENT RELATIONS RECORDS</b><br><br>A. <u>GENERAL RECORDS/CASE FILES</u><br><br>Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups.<br><br>1. Office negotiating agreement.<br><br>2. Other offices.<br><br>B. <u>LABOR ARBITRATION</u> (General) and Case Files<br><br>Correspondence, forms, and background papers relating to labor arbitration cases.<br><br>C. <u>LABOR RELATION FILES</u> — Work Stoppages/Strikes<br><br>Documents relating to work stoppages, strikes, and disputes affecting NASA contracts; includes strike reports, reports of work stoppages, correspondence, plans to settle disputes, and all related documents.<br><br>1. Headquarters<br><br>2. Field Installations | DESTROY 5 YEARS AFTER EXPIRATION AGREEMENT.<br>[GRS 1-28a(1)] (N 15-44)<br><br>DESTROY WHEN SUPERSEDED OR OBSOLETE.<br>[GRS 1-28a(2)]<br><br>DESTROY 5 YEARS AFTER FINAL RESOLUTION OF CASE<br>[GRS 1-28b]<br><br>*PERMANENT*<br>RETIRE TO FRC WHEN INACTIVE.<br>TRANSFER TO NARA WHEN 10 YEARS OLD.<br><DA: N1-255-89-4><br><br>DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-89-4> |
| <b>3711</b>  |             | <b>Employee Management Relations</b>   | (see below)   |
| 3711         | <b>53</b>   | <b>INTERVIEW RECORDS</b><br><br>Correspondence, reports and other records relating to interviews with employees, including entrance and exit interview, also complaint interviews.   | DESTROY 6 MONTHS AFTER TRANSFER OR SEPARATION OF EMPLOYEE.<br>[GRS 1-8] (N 15-7)  |
| <b>3712</b>  |             | <b>Employee Organization and Activities</b>  | Contact Center Records Mgr.   |

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|--------------|-------------|--|--|
| 3713         |             | <b>Nondiscrimination</b>   | Contact Center Records Mgr.  |
| 3715         |             | <b>Nondisciplinary Separations, Demotions and Furloughs</b>  | Contact Center Records Mgr.  |
| 3730         |             | <b>Suitability and Conduct</b>   | Contact Center Records Mgr.  |
| 3731         |             | <b>Suitability</b>   | Contact Center Records Mgr.  |
| 3733         |             | <b>Political Activities of Federal Employees</b>   | Contact Center Records Mgr.  |
| 3734         |             | <b>Holding State or Local Office</b>   | Contact Center Records Mgr.  |
| 3735         |             | <b>Employee Responsibilities and Conduct</b>   | Contact Center Records Mgr.  |
| 3736         |             | <b>Employee Investigations</b>   | Contact Center Records Mgr.  |
| 3750         |             | <b>Discipline and Adverse Actions</b>  | Contact Center Records Mgr.  |
| 3751         |             | <b>Discipline</b>  | Contact Center Records Mgr.  |
| 3752         |             | <b>Adverse Actions</b>   | Contact Center Records Mgr.  |
| 3770         |             | <b>Remedies</b>  | Contact Center Records Mgr.  |
| 3771         |             | <b>Employee Grievances and Administrative Appeal</b>   | (see below)  |
| 3771         | 54          | <b>GRIEVANCE, DISCIPLINARY AND ADVERSE ACTION FILES</b><br><br>A. <u>GRIEVANCE, APPEALS FILES</u> (5 CFR 771)<br>Records originating in the review of grievance and appeals raised by agency employees, except EEO complaints. These case files include statement of witnesses; reports of interviews and hearings; examiner's findings and recommendations; a copy of the original decision; related correspondence and exhibits; and, records relating to a reconsideration request.<br><br>B. <u>APPEAL RECORD FILES</u><br>Copy of decisions rendered, review decisions, related correspondence, and other documentation, except record copies of official documents affecting personnel actions.<br><br>C. <u>ADVERSE ACTION FILES</u> (5 CFR 752)<br>Case files and related records created in reviewing an adverse action (disciplinary or non-disciplinary removal, suspension, leave without pay, reduction-in force) against an employee. The file includes a copy of the proposed adverse action with supporting papers; merit systems protection board cases (MSPB); statements of witnesses; employee's reply; hearing notices, reports and decision; reversal of actions; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF. | DESTROY 5 YEARS AFTER CASE IS CLOSED.<br>[GRS 1-30a]<br><br>DESTROY 7 YEARS AFTER CASE IS CLOSED.<br><DA: N1-255-89-4> (N 15-43)<br><br>DESTROY 5 YEARS AFTER CASE IS CLOSED.<br>[GRS 1-30b] |
| 3772         |             | <b>Appeals to the Commission</b>   | Contact Center Records Mgr.  |
| 3790         |             | <b>Services to Employees (General)</b>   | Contact Center Records Mgr.  |
| 3792         |             | <b>Employee Assistance Program</b>   | Contact Center Records Mgr.  |
| 3800         |             | <b>Insurance and Annuities</b>   | (see below)  |
| 3800         | 55          | <b>INSURANCE DEDUCTION FILES</b><br><br>Reports and related papers including copies of vouchers and schedules of payments pertaining to insurance deductions.  | DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br>[GRS 2-15b] (N 4-16)  |
| 3800         | 56          | <b>NASA EMPLOYEES BENEFIT ASSOCIATION INSURANCE FILES (NEBA) (DFRF ONLY)</b><br><br>Records in this series may include but are not limited to the following NASA Employees Benefit Association (NEBA) general correspondence, material related to insurance claims related to life/travel, correspondence claims, bank statements and quarterly reports, distribution surveys, audit reports, and reports on unliquidated obligations.   |  |

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|--------------|-------------|--|--|
|              |             | A. <u>ORIGINAL DOCUMENTATION</u><br><br>B. <u>ALL OTHER COPIES</u>   | RETIRE RECORDS/CASE FILES TO FRC ONE YEAR AFTER FISCAL YEAR IN WHICH CLAIM/CASE OR REPORT IS RECEIVED, COMPLETED, OR CLOSED. DESTROY FILES 6 YEARS AND 3 MONTHS AFTER THE END OF THE FISCAL YEAR IN WHICH THE RECORDS WERE CREATED, RECEIVED, OR CLOSED.<br><DA: N1-255-89-4><br><br>DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS LATER.<br><DA: N1-255-89-4> |
| <b>3810</b>  |             | <b>Injury Compensation</b>   | Contact Center Records Mgr.  |
| <b>3830</b>  |             | <b>Retirement and Social Security</b>  | Contact Center Records Mgr.  |
| <b>3831</b>  |             | <b>Retirement</b>  | (see below)  |
| 3831         | <b>57</b>   | <b>RETIREMENT FILES</b><br><br>A. <u>REPORTS AND REGISTERS</u><br>Reports, registers, or other control documents, and other records relating to retirement, such as SF 2807 or equivalent.<br><br>B. <u>ASSISTANCE FILES</u><br>Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits. | FOR CSRS/FERS RELATED RECORDS, DESTROY UPON RECEIPT OF OFFICIAL OPM ACCEPTANCE OF ANNUAL SUMMARY.<br>[GRS 2-28] (N 4-15)<br><br>DESTROY WHEN 1 YEAR OLD.<br>[GRS 1-39]   |
| <b>3832</b>  |             | <b>Old Age and Survivors Insurance</b>   | Contact Center Records Mgr.  |
| <b>3850</b>  |             | <b>Unemployment Compensation</b>   | (see below)  |
| 3850         | <b>58</b>   | <b>UNEMPLOYMENT COMPENSATION DATA REQUEST FILES</b><br><br>Requests for wage and separation data to be used in connection with unemployment compensation claims, and related papers, including requests for information, notice of refusal of work offer, and related papers.  | DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-89-4> (N 4-18)  |
| <b>3870</b>  |             | <b>Group Life Insurance</b>  | (see below)  |
| 3870         | <b>59</b>   | <b>MONETARY BENEFITS FILES</b><br><br>Documents relating to the origination, implementation or monitoring of employee benefits, such as Group Life Insurance and health plans, which have a cash value but are not a part of salary wages, or other direct compensation.   | DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-89-4> (N 15-23)   |
| <b>3890</b>  |             | <b>Group Health Insurance</b>  | Contact Center Records Mgr.  |
| <b>3900</b>  |             | <b>General and Miscellaneous</b>   | (see below)  |
| 3900         | <b>60</b>   | <b>MISCELLANEOUS CORRESPONDENCE AND FORMS — PERSONNEL</b><br><br>Operating personnel office records relating to individual employees not maintained in OPFs and not provided for elsewhere in this schedule.<br><br>A. Correspondence and forms relating to pending personnel actions.   | DESTROY WHEN ACTION IS COMPLETED.<br>[GRS 1-17a] (N 15-18)   |

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|--------------|-------------|--|--|
|              |             | <p>B. Retention Registers</p> <ol style="list-style-type: none"> <li>1. Registers and related records from which reduction-in-force actions have been taken or used to effect such action.</li> <li>2. Registers from which NO reduction-in-force actions have been taken and related records.</li> </ol> <p>C. All other correspondence and forms.</p>  | <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 1-17b(1)]</p> <p>DESTROY WHEN SUPERSEDED OR OBSOLETE.<br/>[GRS 1-17b(2)]</p> <p>DESTROY WHEN 6 MONTHS OLD.<br/>[GRS 1-17c]</p>   |
| <b>3930</b>  |             | <b>Programs for Specific Positions and Examinations</b>  | Contact Center Records Mgr.  |
| <b>3933</b>  |             | <b>Qualification Requirements for Specific Positions</b>   | Contact Center Records Mgr.  |
| <b>3938</b>  |             | <b>Classification and Pay for Specific Positions</b>   | Contact Center Records Mgr.  |
| <b>3940</b>  |             | <b>Charity Drives, Contributions, and Solicitations</b>  | (see below)  |
| 3940         | <b>61</b>   | <p><b>CHARITY DRIVES, CONTRIBUTIONS, AND OTHER ACTIVITIES</b></p> <p>A. Records of quasi-official nature, memoranda, and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, voluntary activities, and similar papers.</p> <p>B. Records which document and serve as the basis for official actions.</p>   | <p>DESTROY WHEN 3 MONTHS OLD.<br/>[GRS 23-7] (N 1-9d)</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>&lt;DA: N1-255-89-4&gt;</p>   |
| <b>3950</b>  |             | <b>Credit Unions and Banking Facilities</b>  | Contact Center Records Mgr.  |
| <b>3960</b>  |             | <b>United States Savings Bonds</b>   | (see below)  |
| 3960         | <b>62</b>   | <p><b>INDIVIDUAL AUTHORIZED ALLOTMENT(S) FILES</b></p> <p>A. <u>COMBINED FEDERAL CAMPAIGN AND OTHER ALLOTMENT AUTHORIZATIONS</u></p> <p>Authorization for individual allotments to the Combined Federal Campaign.</p> <p>B. <u>UNION DUES/SAVINGS</u></p> <p>Other authorizations, such as union dues and/or savings.</p> <p>C. <u>THRIFT SAVINGS PLAN ELECTION FORM</u></p> <p>Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan.</p> <p>D. <u>BOND PURCHASE FILES</u></p> <ol style="list-style-type: none"> <li>1. U.S. Savings Bond Authorizations, SF 1192, or equivalent.</li> <li>2. Bond registration files: issuing agent s copies of bond registration stubs.</li> <li>3. Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds.</li> </ol> | <p>DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>[GRS 2-15a] (N 4-10)</p> <p>DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER<br/>[GRS 2-15b]</p> <p>DESTROY WHEN SUPERSEDED OR AFTER SEPARATION OF EMPLOYEE.<br/>[GRS 2-16]</p> <p>DESTROY WHEN SUPERSEDED OR AFTER SEPARATION OF EMPLOYEE.<br/>[GRS 2-14a] (N 4-11)</p> <p>DESTROY 4 MONTHS AFTER DATE OF ISSUANCE OF BOND.<br/>[GRS 2-14b]</p> <p>DESTROY 4 MONTHS AFER DATE OF ISSUANCE OF BOND.</p> |

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**(AFS 3000-3999)**

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|---------------------|--------------------|---|--|
|                     |                    |   | [GRS 2-14c]  |
|                     |                    |   |  |
| <b>3970</b>         |                    | <b>Space Flight Participants</b>  | Contact Center Records Mgr.                                |
| <b>3981</b>         |                    | <b>Personnel Authorities</b>  | (see below)  |
| 3981                | <b>63</b>          | <b>UTILIZATION OF PERSONNEL AUTHORITIES</b><br><br>Office of Personnel Management (OPM) required documentation of the utilization of personnel authorities under OPM delegation agreements. | DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-89-4>             |
|                     |                    |   |  |
|                     |                    |   |  |
|                     |                    | <b>END OF SCHEDULE</b>  |  |
|                     |                    |   |  |

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## **NASA RECORDS RETENTION SCHEDULE 4**

### **PROPERTY AND SUPPLY RECORDS**

This records schedule is one of a series of schedules approved by the Archivist of the United States, which furnish authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers/installations or offices. This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

The records described in Schedule 4, pertain to NASA property and supply management functions. These records are created and accumulated by organizations that have management control or formulate and prescribe property and supply policies and procedures, and by activities and offices applying these procedures. This schedule describes the pertinent records categories and specifies the retention period and disposition for each.



# PROPERTY AND SUPPLY RECORDS

## SCHEDULE 4 (AFS 4000-4999)

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|------------------|-------------|--|--|
| <b>4000-4999</b> |             | <b>PROPERTY AND SUPPLY</b>   | (see below)  |
|                  | <b>0.1</b>  | <b>ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES</b><br><br>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.<br><br>This disposition applies to electronic copies of all items covered under Disposition Jobs N1-255-89-4, N1-255-91-4, and N1-255-90-7 in the NASA Records Retention Schedule 4. This disposition does not apply to any item already covered by the General Records Schedules.<br><br>A. Electronic copies created on electronic mail and word processing systems that have no further administrative value after recordkeeping copy is made.<br><br>B. Electronic copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. | DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED AND DISSEMINATION, REVISION, OR UPDATING IS COMPLETED.<br><DA: N9-255-00-04><br><br>DELETE WHEN DISSEMINATION, REVISION OR UPDATING IS COMPLETED.<br><DA: N9-255-00-04>  |
| <b>4000</b>      |             | <b>Property and Supply (General)</b>   | (see below)  |
| 4000             | <b>1</b>    | <b>LOST AND FOUND ACCOUNTABILITY FILES</b><br><br>Reports, loss statements, receipts, and other papers relating to lost and found articles.  | DESTROY WHEN 1 YEAR OLD.<br><DA: N1-255-89-4> (N 12-23)  |
| <b>4010</b>      |             | <b>Government Property Responsibility</b>  | Contact Center Records Mgr.  |
| <b>4020</b>      |             | <b>Property Surveys — Lost, Damaged, and Destroyed</b>   | (see below)  |
| 4020             | <b>2</b>    | <b>REPORT OF SURVEY FILES</b><br><br>Documents maintained for the purpose of review of circumstances concerning the loss, unserviceability, or destruction of Government property of funds, and for determination of the question of pecuniary or other responsibilities.<br><br>A. Files involving pecuniary liability.<br><br>B. Report of survey files and other papers used as evidence for adjustment of inventory records and not otherwise covered in this Schedule.<br><br>C. All other office/copies  | RECORDS MAY BE RETIRED TO FRC 2 YEARS AFTER FINAL ACTION. DESTROY 10 YEARS AFTER DATE OF ACTION.<br><DA: N1-255-89-4> (N 17-26)<br><br>DESTROY 2 YEARS AFTER DATE OF SURVEY ACTION OR DATE OF POSTING MEDIUM.<br>[GRS 3-9c]<br><br>DESTROY WHEN OBSOLETE OR SUPERSEDED, OR 3 YEARS OLD WHICHEVER IS SOONER.<br><DA: N1-255-89-4> |
| <b>4030</b>      |             | <b>Workload and Planning</b>   | Contact Center Records Mgr.  |
| <b>4040</b>      |             | <b>Supply Sampling</b>   | Contact Center Records Mgr.  |
| <b>4050</b>      |             | <b>Sources of Supply</b>   | Contact Center Records Mgr.  |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# PROPERTY AND SUPPLY RECORDS

## SCHEDULE 4 (AFS 4000-4999)

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| <u>AFS #</u> | <u>ITEM</u> | <b>SUBJECT AREA OR RECORD TITLE</b><br><b><u>DESCRIPTION OF RECORD SERIES</u></b>  | <b>RETENTION</b><br><b>&lt;Authority&gt;</b>   |
|--------------|-------------|--|--|
| <b>4060</b>  |             | <b>Returnable Containers</b>   | Contact Center Records Mgr.  |
| <b>4100</b>  |             | <b>Inventory Management (General)</b>  | (see below)  |
| 4100         | <b>3</b>    | <b>INVENTORY FILES</b><br><br>A. <u>INVENTORY FILES/LISTS.</u><br><br>B. <u>INVENTORY CARDS.</u>   | DESTROY 2 YEARS FROM DATE OF LIST.<br>[GRS 3-9a] (N 17-24)<br><br>DESTROY 2 YEARS AFTER DISCONTINUANCE OF ITEM OR 2 YEARS AFTER STOCK BALANCE IS TRANSFERRED TO NEW CARD OR RECORDED UNDER A NEW CLASSIFICATION OR 2 YEARS AFTER EQUIPMENT IS REMOVED FROM AGENCY CONTROL.<br>[GRS 3-9b] |
| 4100         | <b>4</b>    | <b>CAPITALIZED EQUIPMENT REGISTER</b><br><br>Register showing serial or inventory number of all capitalized equipment currently used or in storage at the installation.  | DESTROY ON DISCONTINUANCE OF INSTALLATION<br><DA: N1-255-89-4> (N 18-7)  |
| <b>4110</b>  |             | <b>Criteria for Inventory</b>  | Contact Center Records Mgr.  |
| <b>4120</b>  |             | <b>Management of Stores Stock</b>  | (see below)  |
| 4120         | <b>5</b>    | <b>STORES RECORDS</b><br><br>A. <u>INVOICE FILES</u><br><br>Invoices or equivalent papers used for stores accounting purposes.<br><br>B. <u>ACCOUNTING WORK PAPERS</u><br><br>Work papers used in accumulating stores accounting data.<br><br>C. <u>ACCOUNTING FILES</u><br><br>Stores accounting returns and reports.   | DESTROY WHEN 3 YEARS OLD.<br>[GRS 8-2] (N 5-2)<br><br>DESTROY WHEN 2 YEARS OLD.<br>[GRS 8-4] (N 5-4)<br><br>DESTROY WHEN 3 YEARS OLD.<br>[GRS 8-3] (N 5-3)   |
| <b>4130</b>  |             | <b>Physical Inventory</b>  | (see below)  |
| 4130         | <b>6</b>    | <b>MECHANIZED PROPERTY AND SUPPLY RECORDS (TRANSACTION REGISTER)</b><br><br>A. Mechanized register reflecting stock items having activity during period covered by the register. This register is an audit trail of stock items and includes transactions such as the following:<br><ul style="list-style-type: none"><li>Transactions establishing new items, receipts, issues of due-in s; due-out s; inventory adjustments, etc.</li></ul><br>B. All other offices/copies | DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-89-4> (N 17-45)<br><br>DESTROY WHEN OBSOLETE OR SUPERSEDED OR WHEN 2 YEARS OLD WHICHEVER IS SOONER.<br><DA: N1-255-89-4>  |

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# PROPERTY AND SUPPLY RECORDS

## SCHEDULE 4 (AFS 4000-4999)

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| <u>AFS #</u>  | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|---|-------------|---|---|
| <b>4200</b>   |             | <b>Equipment Management (General)</b>   | (see below)   |
| 4200  | <b>7</b>    | <b>SPACE AND MAINTENANCE — GENERAL</b><br><br>A. Report (s) from field installation to Headquarters concerning maintenance, repair, and operations.<br><br>1. Headquarters (OPR)<br><br>2. Field Installations (OPR)<br><br>B. Reports consolidated by Headquarters from reports described in Item 9a of this Schedule.<br><br>1. Headquarters<br><br>2. All other offices/copies<br><br>C. Correspondence Files<br><br>Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation and related papers.  | DESTROY WHEN 3 YEARS OLD.<br><DA: N1-255-89-4> (N 18-9a2)<br><br>DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-89-4> (N 18-9a1)<br><br>DESTROY WHEN 3 YEARS OLD.<br><DA: N1-255-89-4><br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-89-4><br><br>DESTROY WHEN 2 YEARS OLD.<br>[GRS 11-1] |
| <b>4210</b>   |             | <b>Property Accountability and Controls</b>   | (see below)   |
| 4210  | <b>8</b>    | <b>PROPERTY FILES</b><br><br>A. <u>PROPERTY PASS</u><br>Property pass files, authorizing removal of property or materials from any NASA installations. This includes hand receipts for materials loaned or issued for use and are to be returned.<br><br>B. <u>LOAN AGREEMENT FILES</u><br>Case files, including legal agreements, correspondence, and related papers pertaining to temporary property loans. Loan agreements are with outside organizations, i.e., other Government agencies, educational institutions, individuals, profit and nonprofit organizations, who are borrowing NASA property or who are loaning property to NASA at no cost. | DESTROY 3 MONTHS AFTER EXPIRATION OR REVOCATION.<br>[GRS 18-12]<br><br>RETIRE TO FRC 2 YEARS AFTER THE END OF THE FISCAL YEAR IN WHICH THE PROPERTY IS RETURNED. DESTROY 6 YEARS AFTER THE END OF THE FISCAL YEAR IN WHICH THE PROPERTY WAS RETURNED.<br><DA: N1-255-91-4>            |
| C. <u>PROPOERTY SHIPPING RECORDS</u><br>Documents reflecting the movement (shipping) of items to/from NASA installations by a commercial shipper or contractor. Records are normally maintained in the NASA Center Shipping/Receiving organization or Property Equipment organization.<br><br>1. Office of Primary Responsibility.<br><br>2. All other Office's copies. |             |   | SEE PAGE NOTE BELOW<br><br>HANDLE AS PERMANENT<br>PENDING RETENTION<br>APPROVAL<br><br>HANDLE AS PERMANENT<br>PENDING RETENTION<br>APPROVAL   |
|   |             |   |   |
|   |             |   |   |

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# PROPERTY AND SUPPLY RECORDS

# SCHEDULE 4 (AFS 4000-4999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|--|---|
| 4220         |             | <b>Use and Replacement Standards for Office Furniture/Furnishings</b>  | Contact Center Records Mgr.   |
| 4300         |             | <b>Utilization and Disposal</b>  | Contact Center Records Mgr.   |
| 4310         |             | <b>Utilization and Excess</b>  | Contact Center Records Mgr.   |
| 4320         |             | <b>Disposal of Surplus and Personal Property</b>   | (see below)   |
| 4320         | 9           | <b>SURPLUS PROPERTY FILES</b><br><br>A. <u>DONATION FILES</u><br>Case files on surplus property donated to Health, Education, and Welfare, including pertinent HEW forms, shipping documents and related correspondence.<br><br>B. <u>CASE FILES</u><br>Case files on sales of surplus personal property, comprising invitation, bids, acceptances, lists of materials, evidence of sales, and related correspondence.<br><br>1. Transactions of more than \$25,000.<br><br>2. Transactions of \$25,000 or less.<br><br>3. Unique files that set precedence relating to transactions over \$100,000. (Precedence setting transactions include sale or donation of goods to foreign nations and international organizations.) | DESTROY WHEN 3 YEARS OLD.<br><DA: N1-255-89-4> (N 18-8)<br><br>DESTROY 6 YEARS AFTER FINAL PAYMENT.<br>[GRS 4-3a]<br><br>DESTROY 3 YEARS AFTER FINAL PAYMENT.<br>[GRS 4-3b]<br><br>*PERMANENT*<br>RETIRE RECORDS TO FRC AFTER FINAL PAYMENT, TRANSFER TO NARA 5 YEARS AFTER FINAL PAYMENT.<br><DA: N1-255-89-4> (N 18-5c) |
| 4340         |             | <b>Disposal of Property at Foreign Offices</b>   | Contact Center Records Mgr.   |
| 4350         |             | <b>Exchange and Sale of Property</b>   | Contact Center Records Mgr.   |
| 4360         |             | <b>Reporting of Excess Surplus Property</b>  | (see below)   |
| 4360         | 10          | <b>EXCESS PROPERTY</b><br><br>Copies of reports to GSA, correspondence and related papers regarding excess personal property.  | DESTROY WHEN 3 YEARS OLD.<br>[GRS 4-2]  |
| 4360         | 11          | <b>PLANT CLEARANCE FILES — CONTRACTOR EXCESS PROPERTY</b><br><br>These files document the reporting, processing, and disposition of Government furnished property / equipment provided to contractors that has become excess to their needs. These case files can consist of documentation on the excess personal property turned in to the Installation Plant Clearance Officer by cost-type on-site contractors.   | DESTROY 3 YEARS AFTER YEAR IN WHICH CASE IS CLOSED.<br><DA: N1-255-90-7>  |
| 4370         |             | <b>Cannibalization of Equipment</b>  | Contact Center Records Mgr.   |
| 4400         |             | <b>Supply Cataloging</b>   | Contact Center Records Mgr.   |
| 4410         |             | <b>Maintenance of Federal Cataloging</b>   | Contact Center Records Mgr.   |
| 4420         |             | <b>Provisioning Screening Procedures</b>   | Contact Center Records Mgr.   |
| 4430         |             | <b>Local Stock Lists</b>   | Contact Center Records Mgr.   |
| 4500         |             | <b>Storage Distribution</b>  | (see below)   |
| 4500         | 12          | <b>CONTROLLED MATERIAL FILES</b><br><br>A. Reports on allotments, unused balances, and related matters.  |   |

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# PROPERTY AND SUPPLY RECORDS

## SCHEDULE 4 (AFS 4000-4999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|---|--|
|              |             | 1. Office of primary responsibility.<br><br>2. All other offices/copies.<br><br>B. Documents, ledgers, and similar documents used to control and account for controlled materials.<br><br>1. Office of primary responsibility<br><br>2. All other offices/copies<br><br>C. Allotment case files used to control and account for controlled materials.   | RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 10 YEARS OLD.<br><DA: N1-255-89-4> (N 17-15)<br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-89-4><br><br>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 10 YEARS OLD.<br><DA: N1-255-89-4> (N 17-17)<br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-89-4><br><br>DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-89-4> (N 17-10) |
| 4500         | 13          | <b>ALLOCATION FILES</b><br><br>Documents reflecting the distribution of controlled materials from DOD to NASA Headquarters, and further allocations within NASA to allocating agencies. Included are documents indicating material requirements, allocation decisions, tentative allocations, requests for allocation concurrence, allocations, and similar data.   | DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-89-4> (N 17-13)   |
| 4500         | 14          | <b>PRIORITY RATING CASE FILES</b><br><br>Documents used in establishing the priority use of controlled materials by contractors.  | DESTROY WHEN 3 YEARS OLD.<br><DA: N1-255-89-4> (N 17-14)   |
| 4500         | 15          | <b>DEFENSE MATERIAL SYSTEM INSTRUCTION FILES</b><br><br>Documents providing direction and guidance for the NASA program designed to control materials designated as critical by the Defense Materials System. Included are basic directives, procedures, coordination actions, studies, interpretations, and documents containing factoring data embodied in weight information, engineering estimates, and bills of materials. | DESTROY WHEN 2 YEARS OLD OR WHEN SUPERSEDED OR OBSOLETE, WHICHEVER APPLIES.<br><DA: N1-255-89-4> (N 17-12)   |
| 4510         |             | <b>Storage Standards Criteria</b>   | Contact Center Records Mgr.  |
| 4520         |             | <b>Receiving and Inspection Processes</b>   | Contact Center Records Mgr.  |
| 4530         |             | <b>Distribution Processes</b>   | Contact Center Records Mgr.  |
| 4600         |             | <b>Expanded Supply Control</b>  | Contact Center Records Mgr.  |
| 4610         |             | <b>On-Site Working Stores</b>   | Contact Center Records Mgr.  |
|              |             |   |  |
|              |             |   |  |
|              |             |   |  |
|              |             | <b>END OF SCHEDULE</b>  |  |
|              |             |   |  |
|              |             |   |  |
|              |             |   |  |

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## NASA RECORDS RETENTION SCHEDULE 5

### INDUSTRY RELATIONS AND PROCUREMENT

This records schedule is one of a series of schedules approved by the Archivist of the United States, which furnish authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers/installations or offices. This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

The records described in Schedule 5, pertain to the management and operation of NASA procurement and contracting functions. They are created and accumulated by organizations that have management control or formulate and prescribe procurement policies and procedures, and by activities and offices applying these procedures. The schedule describes the pertinent records categories and specifies the retention period and disposition for each.

Agency procurement records document the acquisition of goods and non-personal services, reporting procurement needs, and related matters which are a part of daily procurement operations. The basic procurement files reflect a considerable range of procedures, from simple, small purchases to complicated prime contractor and subcontractor operations. Records created prior to **1895** must be offered to NARA for appraisal before applying the disposition instructions. All agencies have official contract files, which contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the agency deems to be best for its own operating purposes. All of these documents make up the official file copy.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, initiating requisition, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping expediting, and other units of the agency procurement organization and are not considered a part of the official file. Other files related to procurement are the special documents referred to as title papers which document the acquisition of real property (by purchase, condemnation, donation, exchange or otherwise) these records are handled under Schedule 8 of this handbook.

This schedule also includes some of the records relating to grant programs. Grant programs document projects contracted between the agency and an outside party, these records are included as an adjunct to the procurement records.



# INDUSTRY RELATIONS AND PROCUREMENT

## SCHEDULE 5 (AFS 5000-5999)

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| <u>AFS #</u>     | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|------------------|-------------|---|--|
| <b>5000-5999</b> |             | <b>PROCUREMENT/SMALL BUSINESS/INDUSTRIAL RELATIONS</b>  | (see below)  |
|                  | <b>0.1</b>  | <b>ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES</b><br><br>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.<br><br>This disposition applies to electronic copies of all items covered under Disposition Job N1-255-94-2 in the NASA Records Retention Schedule 5. This disposition does not apply to any item already covered by the General Records Schedules.<br><br>A. Electronic copies created on electronic mail and word processing systems that have no further administrative value after recordkeeping copy is made.<br><br>B. Electronic copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.   | DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED AND DISSEMINATION, REVISION, OR UPDATING IS COMPLETED.<br><DA: N9-255-00-04><br><br>DELETE WHEN DISSEMINATION, REVISION OR UPDATING IS COMPLETED.<br><DA: N9-255-00-04>                                      |
| <b>5000</b>      |             | <b>Procurement/Small Business/Industrial Relations (General)</b>  | Contact Center Records Mgr.  |
| <b>5100</b>      |             | <b>Procurement (Contracts) - General</b>  | (see below)  |
| 5100             | <b>1</b>    | <b>PROCUREMENT FILES</b><br><br>Contracts, requisitions, purchase orders, leases, bonds, and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in Items: 13, 19, and Schedule 8) or described in FAR 48 CFR 4.805.<br><br>NTOE: 6 years/3 months converts the fiscal year to calendar year. GAO audits are based on calendar year.<br><br>A. Procurement or purchase organization copy and related papers necessary for GAO or internal audit purposes.<br><br>1. Transactions dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold").<br><br>a. Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000.<br><br>b. Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000.<br><br>2. Transactions dated earlier than July 3, 1995.<br><br>a. Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000.<br><br>b. Transactions that utilize small purchase procedures and all | DESTROY 6 YEARS AND 3 MONTHS AFTER FINAL PAYMENT.<br>[GRS 3-3a(1)(a)] (N 17-1)<br><br>DESTROY 3 YEARS AFTER FINAL PAYMENT.<br>[GRS 3-3a(1)(b)]<br><br>DESTROY 6 YEARS AND 3 MONTHS AFTER FINAL PAYMENT.<br>[GRS 3-3a(2)(a)]<br><br>DESTROY 3 YEARS AFTER FINAL |

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# INDUSTRY RELATIONS AND PROCUREMENT

# SCHEDULE 5 (AFS 5000-5999)

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|--------------|-------------|---|--|
|              |             | <p>construction contracts under \$2,000.</p> <p>3. Selected case (by the AA for Procurement) that set precedent or are unusual and pertain to purchases of spacecraft or major innovations in intra-atmospheric flight, high speed research aircraft, etc. (Transactions of more than 1 million dollars.)</p> <p>B. OBLIGATION COPY.</p> <p>C. Data submitted to the Federal Procurement Data System (FPDS). Electronic data files maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.</p> <p>D. Headquarters files pertaining to contracts and amendments awarded by field installations.</p> <p>E. UNIQUE PROCUREMENT FILES<br/>Unique procurement files located in regional FRC's that are appraised as having permanent value by NARA. (Unique procurement files not yet retired to the FRC's, See Item 1A3 above.)</p> <p>F. ALL OTHER OFFICES/COPIES.<br/>Other copies of records described above used by component elements of a procurement office for administrative purposes.</p> | <p>PAYMENT.<br/>[GRS 3-3a(2)(b)]</p> <p>* PERMANENT *<br/>RETIRE TO FRC 2 YEARS AFTER FINAL PAYMENT. TRANSFER TO NARA 10 YEARS AFTER FINAL PAYMENT.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY WHEN FUNDS ARE OBLIGATED.<br/>[GRS 3-3b]</p> <p>DESTROY OR DELETE WHEN 5 YEARS OLD.<br/>[GRS 3-3d]</p> <p>RETIRE TO FRC 2 YEARS AFTER FINAL PAYMENT. DESTROY 6 YEARS AFTER FINAL PAYMENT.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>* PERMANENT *<br/>TRANSFER TO NARA AT TIME OF NARA APPRAISAL OR WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY UPON TERMINATION OR COMPLETION.<br/>[GRS 3-3c]</p> |
| 5100         | 2           | <p><b>PROCUREMENT CONTROL FILES</b></p> <p>Indexes, registers, logs, or other records relating to control of assigning numbers, or identifying projects, applications, contracts, and grants.</p>   | <p>DESTROY OR DELETE WHEN 2 YEARS OLD OR 2 YEARS AFTER THE DATE OF THE LATEST ENTRY WHICHEVER IS APPLICABLE.<br/>[GRS 23-8] (N 17-2)</p>   |
| 5100         | 3           | <p><b>STATUS REPORTS ON PRIME AND SUBCONTRACT AWARDS</b></p> <p>Machine reports (ADP printouts) on NASA prime and subcontract awards; listings of active contracts by installation, by contractor, by place of performance, by project, including monthly and quarterly summaries, monthly procurement action reports, subcontracts awarded by prime contractors and their first tier subcontractors.</p> <p>A. Office of primary responsibility. (NASA Headquarters)</p> <p>B. Field Installations and all other copies.</p>   | <p>RETIRE TO FRC 1 YEAR AFTER CLOSE OF FISCAL YEAR TO WHICH RECORDS PERTAIN. DESTROY WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-2&gt; (N 17-40)</p> <p>DESTROY WHEN OBSOLETE,</p>  |

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# INDUSTRY RELATIONS AND PROCUREMENT

## SCHEDULE 5 (AFS 5000-5999)

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|--------------|-------------|--|--|
|              |             |  | SUPERSEDED, OR WHEN 2 YEARS OLD.<br><DA: N1-255-94-2>  |
| 5100         | <b>4</b>    | <b>BIDDERS' LISTS</b><br><br>A. <u>ACCEPTABLE</u><br><br>Lists or card files of acceptable bidders.<br><br>B. <u>DEBARRED AND SUSPENDED</u><br><br>Lists or card files of debarred or suspended bidders.   | DESTROY WHEN SUPERSEDED OR OBSOLETE.<br>[GRS 3-5d] (N 17-8)<br><br>DESTROY WHEN SUPERSEDED, OBSOLETE, OR 3 YEARS OLD, WHICHEVER IS SOONER.<br><DA: N1-255-94-2> (N 17-7)                             |
| 5100         | <b>5</b>    | <b>GENERAL PROCUREMENT CORRESPONDENCE</b><br><br>Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule. Procurement management survey files, including correspondence and reports concerning surveys of procurement management.<br><br>A. <u>HEADQUARTERS.</u><br><br>B. <u>FIELD INSTALLATIONS AND ALL OTHER OFFICES/COPIES.</u>  | RETAIN UNTIL REFERENCE VALUE CEASES; THEN DESTROY.<br><DA: N1-255-94-2> (N 17-48)<br><br>DESTROY WHEN 2 YEARS OLD.<br>[GRS 3-2]  |
| <b>5101</b>  |             | <b>Federal Acquisition Regulations (FAR) Systems</b>   | (see below)  |
| 5101         | <b>6</b>    | <b>CONTRACT LEGAL ADVICE</b><br><br>Documents pertaining to pre-award contract advice concerning patent, copyright, and technical data matters.  | RETIRE TO FRC WHEN NO LONGER NEEDED FOR REFERENCE.<br>DESTROY WHEN RELATED CONTRACT OR WHEN 25 YEARS OLD, WHICHEVER IS LATER.<br><DA: N1-255-94-2> (N 13-7)  |
| <b>5102</b>  |             | <b>Definitions of Words and Terms</b>  | Contact Center Records Mgr.  |
| <b>5103</b>  |             | <b>Improper Business Practices and Personal Conflicts of Interest</b>  | Contact Center Records Mgr.  |
| <b>5104</b>  |             | <b>Administrative Matters</b>  | (see below)  |
| 5104         | <b>7</b>    | <b>BASIC AGREEMENT FILES</b><br><br>Basic agreements are made with individual contractors to set forth the negotiated contract clauses which shall be applicable to future contracts of a specified type entered into between the contractor and NASA during the term of the basic agreements. All basic agreements, current and active, or cancelled or superseded for any one contractor, shall be filed together.<br><br>A. <u>HEADQUARTERS.</u><br><br>B. <u>FIELD INSTALLATIONS AND ALL OTHER OFFICES/COPIES.</u> | DESTROY 2 YEARS AFTER EXPIRATION OF BASIC AGREEMENT.<br><DA: N1-255-94-2> (N 17-43)<br><br>RETIRE TO FRC 2 YEARS AFTER FINAL PAYMENT ON CONTRACT PERFORMED BY APPLICABLE CONTRACTOR. DESTROY 4 YEARS |

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# INDUSTRY RELATIONS AND PROCUREMENT

## SCHEDULE 5 (AFS 5000-5999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|---|--|
|              |             |   | AFTER FINAL PAYMENT.<br><DA: N1-255-94-2>  |
| 5104         | <b>8</b>    | <b>CONTRACT ADMINISTRATION OF PATENT AND NEW TECHNOLOGY CLAUSES</b><br><br>Documents pertaining to actual administration of patent and new technology clauses in contracts especially pertaining to reporting and processing of inventions required to be reported.   | RETIRE TO FRC 2 YEARS AFTER CONTRACT CLOSE-OUT. DESTROY WHEN 20 YEARS OLD.<br><DA: N1-255-94-2> (N 13-8)   |
| 5104         | <b>9</b>    | <b>SURVEYS OF EVALUATIONS</b><br><br>Case files on surveys of evaluations made by NASA procurement offices.   | DESTROY 6 YEARS AFTER FINAL PAYMENT.<br><DA: N1-255-94-2> (N 17-19)  |
| <b>5105</b>  |             | <b>Publicizing Contract Actions</b>   | (see below)  |
| 5105         | <b>10</b>   | <b>PROCUREMENT ACTION REPORT</b><br><br>Documents relating to the reporting system designed to provide statistics concerning placement, status, delivery, and settlement of procurement actions. Included are special, quarterly, procurement activity, status, monthly, contractor settlement, semi-annual, consolidated, and summary reports, and related correspondence. | DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-2> (N 17-11)   |
| <b>5106</b>  |             | <b>Competition Requirements</b>   | Contact Center Records Mgr.  |
| <b>5107</b>  |             | <b>Acquisition Planning</b>   | Contact Center Records Mgr.  |
| <b>5108</b>  |             | <b>Required Sources of Supplies and Services</b>  | Contact Center Records Mgr.  |
| <b>5109</b>  |             | <b>Contractor Qualifications</b>  | (see below)  |
| 5109         | <b>11</b>   | <b>COMPETENCY CERTIFICATES</b><br><br>Copies of the certificates, communications, concerning the capacity credit of specific small business concerns.   | DISPOSE OF IN ACCORDANCE WITH RELATED CONTRACT.<br><DA: N1-255-94-2> (N 17-31)   |
| <b>5110</b>  |             | <b>Market Research</b>  | Contact Center Records Mgr.  |
| <b>5111</b>  |             | <b>Describing Agency Needs</b>  | Contact Center Records Mgr.  |
| <b>5112</b>  |             | <b>Acquisition of Commercial Items</b>  | (see below)  |
| 5112         | <b>12</b>   | <b>CONTRACT DEVIATION FILES</b><br><br>Requests, approvals, and disapproval of deviations from standard contract or grant forms and clauses.<br><br>A. <u>HEADQUARTERS.</u><br><br>B. <u>CONTRACTING OFFICE.</u><br><br>C. <u>ALL OTHER OFFICES/COPIES.</u>   | RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WITH RELATED CONTRACT.<br><DA: N1-255-94-2> (N 17-4)<br><br>DESTROY WITH RELATED CONTRACT FILE.<br><DA: N1-255-94-2><br><br>DESTROY WHEN NO LONGER NEEDED OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br><DA: N1-255-94-2> |

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|--------------|-------------|---|--|
|              |             |   |  |
| 5113         |             | <b>Simplified Acquisition Procedures</b>  | Contact Center Records Mgr.  |
| 5114         |             | <b>Sealed Bidding</b>   | Contact Center Records Mgr.  |
| 5115         |             | <b>Contracting by Negotiation</b>   | (see below)  |
| 5115         | 13          | <b>SOURCE EVALUATION BOARD (SEB) FILES</b><br><br>A. <u>ESTABLISHMENT OF BOARD INCLUDING RECORDS CREATED</u><br>Records and correspondence concerning the competitive solicitation, evaluation, and selection of a contractor to perform a major negotiated contract, including designation of board members, rules for board operations, committee appointments, minutes of all committee and board meetings; records on the evaluation process, criteria, specifications; bidder proposals, and reports of committee actions and findings, including backup material and final SEB reports to the Administrator.<br><br>B. <u>ACTIONS OF THE ADMINISTRATOR (OR HIS DESIGNEE)</u><br>Records and correspondence concerning deliberations and actions of the Administrator or his designee and other officials participating in these actions relating to the final selection of the contractor based on the SEB's report and presentation(s).<br>NOTE: These files are separate from the Board's files set forth above in A. | MAINTAIN AS AN INTEGRAL UNIT. RETIRE AND DESTROY WITH THE RELATED CONTRACT FILE. SEE ITEM 1.A.3. OF THIS SCHEDULE, IF CONTRACT IS PRECEDENT SETTING OR UNIQUE. RETIRING ACTIVITIES PLACE DESTRUCTION DATE ON THE SF 135.<br><DA: N1-255-94-2> (N 17-39)<br><br>RETIRE TO FRC 1 YEAR AFTER THE END OF THE FISCAL YEAR IN WHICH THE SELECTION TOOK PLACE. DESTROY 6 YEARS AFTER THE FISCAL YEAR IN WHICH THE SELECTION TOOK PLACE.<br><DA: N1-255-94-2> (N 13-21)                                    |
|              |             |   |  |
| 5115         | 14          | <b>SOLICITED AND UNSOLICITED BIDS AND PROPOSALS FILES (INCLUDING SUCCESSFUL/UNSUCCESSFUL AND REJECTED BIDS)</b><br><br>A. <u>SUCCESSFUL BIDS/PROPOSALS</u><br><br>B. <u>UNSUCCESSFUL BIDS/PROPOSALS - SOLICITED &amp; UNSOLICITED</u><br><br>1. Relating to small purchases as defined in the FAR, 48 CFR Part 13.<br><br>2. Relating to transactions above the small purchase limitations in 48 CFR, Part 13.<br>(a) When filed separately from the contract file.<br>(b) When filed with contract case file.<br><br>3. Investigative reports concerning feasibility of unsolicited proposal(s).<br>(a) Reports on proposals resulting in projects.<br><br>(b) Reports on rejected proposals.  | DESTROY WITH RELATED CONTRACT CASE FILE (SEE ITEM 1 OF THIS SCHEDULE)<br>[GRS 3-5a]<br><br>DESTROY 1 YEAR AFTER DATE OF AWARD OR FINAL PAYMENT, WHICHEVER IS LATER.<br>[GRS 3-5b(1)] (N 17-5)<br><br>DESTROY WHEN RELATED CONTRACT IS COMPLETED.<br>[GRS 3-5b(2)(a)]<br><br>DESTROY WITH RELATED CONTRACT CASE FILE (SEE ITEM 1 OF THIS SCHEDULE).<br>[GRS 3-5b(2)(b)]<br><br>FILE WITH RELATED CONTRACT. DESTROY ACCORDINGLY.<br><DA: N1-255-94-2> (N 17-9)<br><br>RETIRE TO FRC WHEN 1 YEAR OLD. |

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|--------------|-------------|--|--|
|              |             | <p>C. <u>CANCELLED SOLICITATIONS</u></p> <p>1. Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which are cancelled prior to award of a contract. The files include presolicitation documentation on the requirement, any offers which were opened prior to the cancellation, documentation on any Government action up to the time of cancellation, and evidence of the cancellation.</p> <p>2. Unopened Bids.</p> <p>D. <u>LISTS/CARDS OF BIDDERS</u></p>  | <p>DESTROY WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY 5 YEARS AFTER DATE OF CANCELLATION.<br/>[GRS 3-5c(1)]</p> <p>RETURN TO BIDDER.<br/>[GRS 3-5c(2)]</p> <p>DESTROY WHEN SUPERSEDED OR OBSOLETE.<br/>[GRS 3-5d]</p>  |
| 5116         |             | <b>Types of Contracts</b>  | Contact Center Records Mgr.  |
| 5117         |             | <b>Special Contracting Methods</b>   | Contact Center Records Mgr.  |
| 5119         |             | <b>Small Business Programs</b>   | (see below)  |
| 5119         | 15          | <p><b>QUALIFICATION LISTS</b></p> <p>Lists of businesses determined to be qualified to participate in the small business program and related documents.</p>  | <p>DESTROY WHEN SUPERSEDED, OBSOLETE, OR WHEN 3 YEARS OLD WHICHEVER IS LATER.<br/>&lt;DA: N1-255-94-2&gt; (N 17-33)</p>  |
| 5119         | 16          | <p><b>SMALL BUSINESS RECORDS</b></p> <p>A. <u>REPORTS</u><br/>Reports received by small business advisors from NASA procurement offices and from contractors regarding the small business procurement program.</p> <p>B. <u>INFORMATION FILES</u><br/>Documents relating to communications or discussions providing small business concerns with information about NASA requirements for the participation of small business concerns in the NASA procurement program.</p> <p>C. <u>PROGRAM SURVEY FILES</u><br/>Documents relating to surveys to analyze the effectiveness of the small business program.</p> <p>D. <u>QUALIFICATION FILES</u><br/>Case files relating to the productive capacity, credit, resources, and similar data about small business concerns to provide information about the availability of additional small business sources to meet current or anticipated requirements of the procurement program.</p> | <p>DESTROY WHEN 2 YEARS OLD.<br/>&lt;DA: N1-255-94-2&gt; (N 17-32)</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>&lt;DA: N1-255-94-2&gt; (N 17-28)</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>&lt;DA: N1-255-94-2&gt; (N 17-29)</p> <p>DESTROY WHEN SUPERSEDED, OBSOLETE, OR WHEN 3 YEARS OLD WHICHEVER IS LATER.<br/>&lt;DA: N1-255-94-2&gt; (N 17-30)</p> |
| 5122         |             | <b>Application of Labor Laws to Government Acquisitions</b>  | Contact Center Records Mgr.  |
| 5123         |             | <b>Environment, Conservation, Occupational Safety, and Drug-Free Workplace</b>   | Contact Center Records Mgr.  |
| 5124         |             | <b>Protection of Privacy and Freedom of Information</b>  | Contact Center Records Mgr.  |
| 5125         |             | <b>Foreign Acquisition</b>   | Contact Center Records Mgr.  |
| 5126         |             | <b>Other Socioeconomic Programs</b>  | Contact Center Records Mgr.  |
| 5127         |             | <b>Patents, Data, and Copyrights</b>   | (see below)  |

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|--------------|-------------|--|---|
| 5127         | 17          | <b>LICENSING OF NASA-OWNED INVENTIONS (DOMESTIC AND FOREIGN)</b><br><br>A. <u>LICENSE GRANTS</u> .<br><br>B. <u>INQUIRIES</u> about commercial rights and licensing program.   | RECORDS MAY BE RETIRED TO FRC WHEN 5 YEARS OLD. DESTROY WHEN 25 YEARS OLD.<br><DA: N1-255-94-2> (N 13-10)<br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-2>   |
| 5127         | 18          | <b>PATENTS (ALSO SEE SCHEDULE 2)</b><br><br>A. <u>INFRINGEMENT</u><br>Infringement case files, including correspondence of a general nature regarding patent infringement.<br><br>B. <u>LICENSES RECEIVED ON PATENTS OR PATENT APPLICATIONS</u><br><br>HEADQUARTERS ONLY - (Office of General Counsel) | RETIRED TO FRC 2 YEARS AFTER SETTLEMENT OF CASE. DESTROY WHEN 20 YEARS OLD.<br><DA: N1-255-94-2> (N 13-11)<br><br>RETIRED TO FRC 2 YEARS AFTER LICENSE IS NO LONGER ACTIVE. DESTROY WHEN 10 YEARS OLD.<br><DA: N1-255-94-2> (N 13-12) |
| <b>5128</b>  |             | <b>Bonds and Insurance</b>   | Contact Center Records Mgr.   |
| <b>5129</b>  |             | <b>Taxes</b>   | (see below)   |
| 5129         | 19          | <b>TAX EXEMPTION FILES</b><br><br>Documents relating to the issue of tax exemption certificates and related papers which indicated proof of exemption of taxes excluded from the contract price under procurement regulations.   | DESTROY 3 YEARS AFTER PERIOD COVERED BY RELATED ACCOUNT.<br>[GRS 3-12] (N 17-36)  |
| <b>5130</b>  |             | <b>Cost Accounting Standards Administration</b>  | Contact Center Records Mgr.   |
| <b>5131</b>  |             | <b>Contract Cost Principles and Procedures</b>   | (see below)   |
| 5131         | 20          | <b>CONTRACTORS' PAYROLL</b><br><br>Contractors' payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certificates, antikickback affidavits, and other related papers.   | DESTROY 3 YEARS AFTER DATE OF COMPLETION OF CONTRACT UNLESS CONTRACT PERFORMANCE IS SUBJECT TO ENFORCEMENT ACTION ON SUCH DATE.<br>[GRS 3-11] (N 17-41)   |
| 5131         | 21          | <b>COST AND PRICE ANALYSIS FILES</b><br><br>Cost and price analysis reports, financial data, audit reports, and all other supporting papers relating to a contract.  | DISPOSE OF IN ACCORDANCE WITH RELATED CONTRACT.<br><DA: N1-255-94-2> (N 17-35)  |
| <b>5132</b>  |             | <b>Contract Financing</b>  | Contact Center Records Mgr.   |
| <b>5133</b>  |             | <b>Protests, Disputes, and Appeals</b>   | (see below)   |
| 5133         | 22          | <b>BID AND AWARD PROTEST FILES (ALSO SEE SCHEDULE 2)</b><br><br>Correspondence and reports regarding protests on bids and awards.<br><br>A. <u>HEADQUARTERS</u> .  | RETIRED TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 6 YEARS OLD.<br><DA: N1-255-94-2> (N 17-6)  |

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|--------------|-------------|--|--|
|              |             | B. <u>FIELD INSTALLATIONS AND ALL OTHER OFFICES/COPIES.</u>  | DESTROY WITH RELATED CONTRACT FILE.<br><DA: N1-255-94-2>   |
| 5134         |             | <b>Major System Acquisition</b>  | Contact Center Records Mgr.  |
| 5135         |             | <b>Research and Development Contracting</b>  | (see below)  |
| 5135         | 23          | <b>R&amp;D CONTRACT REFERENCE FILE</b><br><br>Consisting of copies of R&D contracts associated with the accomplishment of the program with changes, modifications, or addenda thereto.   | DESTROY AFTER COMPLETION OR CANCELLATION OF PROGRAM.<br><DA: N1-255-94-2> (N 24-15)  |
| 5136         |             | <b>Construction and Architect-Engineer Contracts</b>   | Contact Center Records Mgr.  |
| 5137         |             | <b>Service Contracting</b>   | (see below)  |
| 5137         | 24          | <b>INTERSERVICE INSPECTION FILES</b><br><br>Documents relating to the performance of inspection services for other procuring activities, such as audit reports.  | DISPOSE OF IN ACCORDANCE WITH RELATED CONTRACT.<br><DA: N1-255-94-2> (N 17-42)   |
| 5138         |             | <b>Federal Supply Schedule Contracting</b>   | Contact Center Records Mgr.  |
| 5139         |             | <b>Acquisition of Information Technology</b>   | Contact Center Records Mgr.  |
| 5141         |             | <b>Acquisition of Utility Services</b>   | Contact Center Records Mgr.  |
| 5142         |             | <b>Contract Administration and Audit Services</b>  | (see below)  |
| 5142         | 25          | <b>CONTRACTOR MONTHLY MANAGEMENT AND OPERATIONS REPORTS</b><br><br>Contract Technical Monitor's (CTM), Contracting Officers Technical Representative (COTR), or Contracting Officer Representative (COR) for which contract is performed.<br><br>A. Copies of formal written direction to the contractor which fills in detail, directs possible lines of inquiry, or otherwise more specifically defines work set forth in the contract statement-of-work.<br><br>B. Copies of contractor's management and operation reports, containing financial and production data. | RECORDS MAY BE RETIRED TO FRC WHEN 4 YEARS OLD. DESTROY UPON CERTIFICATION OF PAYMENT TO THE CONTRACTOR OR WHEN NO LONGER NEEDED FOR FOLLOW-ON CONTRACT PREPARATION. RETIRING ACTIVITY TO PLACE DESTRUCTION DATE ON SF 135.<br><DA: N1-255-94-2><br><br>DESTROY 2 YEARS AFTER EXPIRATION OF CONTRACT.<br><DA: N1-255-94-2> |
| 5143         |             | <b>Contract Modifications</b>  | Contact Center Records Mgr.  |
| 5144         |             | <b>Subcontracting Policies and Procedures</b>  | Contact Center Records Mgr.  |
| 5145         |             | <b>Government Property</b>   | Contact Center Records Mgr.  |
| 5146         |             | <b>Quality Assurance</b>   | Contact Center Records Mgr.  |
| 5147         |             | <b>Transportation</b>  | Contact Center Records Mgr.  |
| 5148         |             | <b>Value Engineering</b>   | Contact Center Records Mgr.  |
| 5149         |             | <b>Termination of Contracts</b>  | (see below)  |
| 5149         | 26          | <b>CONTRACT TERMINATION REPORT FILES</b><br><br>Reports, correspondence, and related documentation pertaining to status of contract or grant termination.  | DESTROY WHEN 3 YEARS OLD OR WITH RELATED CONTRACT FILE,  |

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|--------------|-------------|---|--|
|              |             |   | WHICHEVER IS LATER.<br><DA: N1-255-94-2> (N 17-3)  |
|              |             |   |  |
| 5150         |             | <b>Extraordinary Contractual Actions</b>  | Contact Center Records Mgr.  |
| 5151         |             | <b>Use of Government Sources by Contractors</b>   | Contact Center Records Mgr.  |
| 5152         |             | <b>Solicitation Provisions and Contract Clauses</b>   | Contact Center Records Mgr.  |
| 5153         |             | <b>Forms</b>  | Contact Center Records Mgr.  |
| 5171         |             | <b>Mid-Range Procurement Procedures</b>   | Contact Center Records Mgr.  |
| 5172         |             | <b>Acquisition of Investigations</b>  | Contact Center Records Mgr.  |
| 5200         |             | <b>Contractor Labor Relations</b>   | (see below)  |
| 5200         | 27          | <b>CONTRACTOR LABOR RELATIONS - EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS (INDUSTRY)</b><br><br>A. <u>COMPLIANCE RECORDS</u><br>Documents relating to the compliance with nondiscrimination in employment contract clauses.<br><br>1. Compliance Review files consisting of reviews, background papers, complaints, special visits, and correspondence relating to contractor employment practices.<br><br>2. EEO Compliance Reports.<br><br>B. <u>CONTRACTOR EEO REPORTS</u><br>Contract compliance reviews of contractors and affirmative action plans of contractors and equal employment opportunity (EEO-1) reports.<br><br>C. <u>EEO CLEARANCE PAPERS</u><br>Memoranda or other documentation from EEO clearing or approving a contractor for compliance with non-discrimination contract clauses. | DESTROY WHEN 7 YEARS OLD.<br>[GRS 1-25d(1)] (N 17-37)<br><br>DESTROY WHEN 3 YEARS OLD.<br>[GRS 1-25d(2)]<br><br>DESTROY WHEN 7 YEARS OLD.<br>[GRS 1-25d(1)] (N 17-46)<br><br>DESTROY WITH RELATED CONTRACT.<br><DA: N1-255-94-2> |
|              |             |   |  |
| 5210         |             | <b>Labor Relations Boards</b>   | Contact Center Records Mgr.  |
| 5220         |             | <b>Disputes, Strikes, and Work Stoppages</b>  | Contact Center Records Mgr.  |
| 5300         |             | <b>Reliability and Quality Assurance</b>  | (see below)  |
| 5300         | 28          | <b>UNSATISFACTORY CONDITION REPORTS</b><br><br>Reports and related documents resulting from unsatisfactory performance or working conditions as related to the contract and contractor.   | RETIRE TO FRC 1 YEAR AFTER END OF PROJECT. DESTROY 10 YEARS AFTER THE END OF THE PROJECT.<br><DA: N1-255-94-2> (N 20-7)  |
| 5300         | 29          | <b>EVALUATION FILES</b><br><br>Case files on evaluations made by the Headquarters R&QA Office.  | RETIRE TO FRC 1 YEAR AFTER COMPLETION OF PROJECT. DESTROY 6 YEARS AFTER COMPLETION.<br><DA: N1-255-94-2> (N 20-1)  |
|              |             |   |  |
| 5300         | 30          | <b>R&amp;QA AUDITS, SURVEYS, AND REPORTS</b><br><br>A. Documents related to R&QA audits, special studies, status reports, etc., including related correspondence (filed by contract).<br><br>B. All other or in-house SR&QA Audits, Surveys, and Report files   | RETIRE TO FRC 2 YEARS AFTER CONTRACT FINAL PAYMENT. DESTROY 5 YEARS AFTER FINAL PAYMENT.<br><DA: N1-255-94-2> (N 20-11)<br><br>CLOSE FILE AT END OF SURVEY/  |

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## SCHEDULE 5 (AFS 5000-5999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|---|---|
|              |             | performed.<br><br>C. Quality Surveillance Records/System (QSR)<br><br>1. Original forms which document the quality assurance specialist's daily work effort. The form records the specialists observations of the contractor performing tasks per contractual requirements.<br><br>2. Copies of items in 1. above.  | AUDIT AT END OF FISCAL YEAR.<br>DESTROY WHEN 9 YEARS OLD.<br><DA: N1-255-94-2><br><br>DESTROY ORIGINAL QSR'S WHEN 2 YEARS OLD.<br><DA: N1-255-94-2><br><br>DESTROY WHEN 6 MONTHS OLD.<br><DA: N1-255-94-2>  |
| 5300         | 31          | <b>INSPECTION AND PROOF REPORT(S)</b><br><br>A. Documents reflecting dimensions, drawings used in manufacture, results of proof testing, certifications of acceptance, and related data concerning inspection and proof testing of manufactured components.<br><br>1. Paper. Recordkeeping copy.<br><br>2. Electronic media.<br>(magnetic tapes, OD, CD ROM, etc.)<br><br>3. Photographs.<br><br>4. Electronic copies generated on office automation applications such as E-mail and word processing applications.<br><br>B. Copies of contracts, purchase orders, and related papers pertaining to Government Source Inspection requirements and Procurement Surveillance findings.<br><br>C. Copies of construction contracts and purchase orders relating to non-significant files, including drawings and quality requirements/ inspections.<br>NOTE: The records identified in this item are not necessary for final payment or closure of the contract file.<br><br>D. Copies of incidental documents in task files such as shop notes, inspection request, etc. relating to Inspection and Proof Reports not covered in A, B, and C above. | DESTROY 3 YEARS AFTER COMPLETION OF FINAL PRODUCTION ORDER FOR THE RELATED COMPONENT.<br><DA: N1-255-99-2> (N 20-6)<br><br>DESTROY/RECYCLE 3 YEARS AFTER COMPLETION OF FINAL PRODUCTION ORDER FRO THE RELATED COMPONENT.<br><DA: N1-255-99-2><br><br>DESTROY 3 YEARS AFTER COMPLETION OF FINAL PRODUCTION ORDER FOR THE RELATED COMPONENT.<br><DA: N1255-99-2><br><br>DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED.<br><DA: N1-255-99-2><br><br>DISPOSE OF IN ACCORDANCE WITH ITEM 1 OF THIS SCHEDULE.<br><DA: N1-255-94-2><br><br>DESTROY WHEN 4 YEARS OLD.<br><DA: N1-255-94-2><br><br>DESTROY OR DELETE WHEN NO LONGER NEEDED OR WHEN 1 YEAR OLD, WHICHEVER IS SOONER.<br><DA: N1-255-99-2> |
| 5310         |             | <b>General Provisions</b>   | (see below)   |
| 5310         | 32          | <b>MANUFACTURING CONTROL FILES</b><br><br>Work orders, job orders, turn-in slips, estimate sheets, production reports and other papers relating to the scheduling, dispatch, follow up and control of items to be manufactured.   | DESTROY 3 YEARS AFTER COMPLETION OF RELATED WORK.<br><DA: N1-255-94-2> (N 20-8)   |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# INDUSTRY RELATIONS AND PROCUREMENT

# SCHEDULE 5 (AFS 5000-5999)

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|--------------|-------------|---|---|
| 5310         | 33          | <b>TECHNICAL FILES</b><br>Technical records/files on R&QA contracts issued by office.   | RETIRE TO FRC WHEN 1 YEAR OLD.<br>DESTROY WHEN 4 YEARS OLD.<br><DA: N1-255-94-2> (N 20-4)   |
| 5311         |             | <b>NASA-DoD Relationships</b>   | Contact Center Records Mgr.   |
| 5320         |             | <b>Reliability Policies and Programs</b>  | (see below)   |
| 5320         | 34          | <b>PARTS PROGRAM MANAGEMENT FILES</b><br>Parts program management, including Red Flag Reports, discrete and microelectronics parts, and parts data systems.   | RETIRE TO FRC 1 YEAR AFTER COMPLETION OF PROJECT.<br>DESTROY WHEN 4 YEARS OLD.<br><DA: N1-255-94-2> (N 20-3)  |
| 5330         |             | <b>Quality Policies and Programs</b>  | (see below)   |
| 5330         | 35          | <b>MANUFACTURING QUALITY CONTROL FILES</b><br>Documents maintained for detection, prevention, and control of manufacturing defects such as in-process inspection sheets, rework records, reports reflecting frequency distribution of manufacturing defects, and related papers.  | DESTROY 3 YEARS AFTER COMPLETION OF FINAL PRODUCTION ORDER FOR THE RELATED COMPONENT.<br><DA: N1-255-94-2> (N 20-5)   |
| 5340         |             | <b>Contamination Control</b>  | Contact Center Records Mgr.   |
| 5400         |             | <b>Contractor-Held Government Property</b>  | Contact Center Records Mgr.   |
| 5500         |             | <b>Patent Waiver</b>  | (see below)   |
| 5500         | 36          | <b>WAIVERS - PATENTS</b><br>Case files on petitions for waiver of patents, and all related documentation and papers.  | RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 25 YEARS OLD.<br><DA: N1-255-94-2> (N 13-19)   |
| 5600         |             | <b>Statement of Work</b>  | Contact Center Records Mgr.   |
| 5610         |             | <b>Work Breakdown Structure</b>   | Contact Center Records Mgr.   |
| 5700         |             | <b>Awards, Inventions, and Contributions</b>  | Contact Center Records Mgr.   |
| 5800         |             | <b>Grants and Cooperative Agreements</b>  | (see below)   |
| 5800         | 37          | <b>GRANTS PROGRAM</b><br><br>A. <u>CASE FILES/PRINCIPLE INVESTIGATOR GRANT FILES</u><br>NOTE: IF any LITIGATION, CLAIM, OR AUDIT IS STARTED BEFORE the expiration of the 6 year period, the records shall be RETAINED UNTIL ALL LITIGATION, CLAIMS, OR AUDIT FINDINGS involving the records have been resolved.<br><br>Proposals or applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds, and project budgets.<br><br>1. UNSUCCESSFUL GRANTS<br>Files consist of solicited/unsolicited bids/proposals which contains applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.<br><br>2. PEER REVIEWS<br><br>a. <u>EXTERNAL REVIEWS</u><br>Investigative reports of peer reviews and evaluations, which may include but are not limited to "Dear College" letters concerning the feasibility of performing and acquiring the services of, or the | RETIRE TO FRC 2 YEARS AFTER COMPLETION OF GRANT. DESTROY WHEN 6 YEARS, 3 MONTHS OLD.<br><DA: N1-255-94-2><br><br>DESTROY 3 YEARS AFTER REJECTION OR WITHDRAWAL.<br>[GRS 3-13] |

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# INDUSTRY RELATIONS AND PROCUREMENT

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|--------------|-------------|--|---|
|              |             | <p>performance of an unsolicited proposal from researchers and/or scientists.</p> <p>I. Reports and proposals resulting in a project.</p> <p>II. Reports and proposals not selected or rejected proposals.</p> <p>b. <u>INTERNAL REVIEWS</u><br/>Reports of peer reviews and evaluations including, but not limited to, proposals, slides/charts, letters, and a chairman's summary report concerning the research being performed by a specific group/individual of researchers and/or scientists.</p> <p>I. Accepted proposals resulting in a project.</p> <p>II. Rejected proposals.</p> <p>B. <u>GRANT CONTROL FILES</u><br/>Indexes, registers, logs, or other records relating to control of assigning numbers or identifying projects, applications, and grants.</p> <p>C. <u>GENERAL CORRESPONDENCE AND SUBJECT FILES</u></p> <p>1. Correspondence and/or subject files including memoranda, studies reports, forms, and other records relating to the establishment of program, its policies and basic procedures, and the management and evaluation of grants.</p> <p>2. Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.</p> | <p>FILE DOCUMENTATION WITH THE RELATED GRANT OR CONTRACT FILE; DESTROY ACCORDINGLY.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RETIRE TO FRC WHEN 1 YEAR OLD.<br/>DESTROY WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>FILE WITH RELATED CASE FILE (GRANT OR CONTRACT); DESTROY ACCORDINGLY.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RETIRE TO FRC WHEN 1 YEAR OLD.<br/>DESTROY WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY OR DELETE WHEN 2 YEARS OLD, OR 2 YEARS AFTER THE DATE OF THE DATE OF THE LATEST ENTRY, WHICHEVER IS APPLICABLE.<br/>[GRS 23-8]</p> <p>DESTROY WHEN SUPERSEDED, OBSOLETE, OR WHEN 3 YEARS OLD WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 3-14]</p> |
| 5800         | 38          | <p><b>FACILITIES GRANTS</b></p> <p>A. <u>DRAWINGS AND SPECIFICATIONS</u> (Routine)</p> <p>1. Headquarters</p> <p>2. Field Installations and all other offices/copies.</p> <p>B. <u>PRELIMINARY/PRESENTATION DRAWINGS AND MODELS</u></p> <p>1. Records that relate to the mission of the Agency.</p> <p>(a) Drawings.</p>   | <p>RETIRE TO FRC 1 YEAR AFTER FINAL PAYMENT. DESTROY 10 YEARS AFTER FINAL PAYMENT.<br/>&lt;DA: N1-255-94-2&gt; (N 17-38)</p> <p>DESTROY WHEN NO LONGER NEEDED, OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY WHEN NO LONGER</p>  |

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# INDUSTRY RELATIONS AND PROCUREMENT

# SCHEDULE 5 (AFS 5000-5999)

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|--------------|-------------|---|---|
|              |             | <p>(b) Architectural models.</p> <p>2. Non-significant records for temporary structures and buildings or of buildings not critical to the mission of the agency.</p> <p>(a) Drawings<br/>Records include drawings of the structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations. Drawings of electrical, plumbing, heating, or air conditioning systems are also included in this item.</p> <p>(b) Architectural models prepared for illustrative or presentation purposes.</p> <p>C. <u>CONSTRUCTION FILES OF FEDERAL STRUCTURES</u></p> <p>1. Intermediate, prefinal, shop, repair and alteration, contract negotiation drawings, standard drawings, project specifications, and documents relating to their preparation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air conditioning projects, or drawings superseded by final working/as built drawings.</p> <p>2. Space Assignment Plans consisting of outlines of floor plans indicating occupancy of a building.</p> <p>D. <u>ENGINEERING DRAWINGS OF ROUTINE MINOR PARTS</u><br/>Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams, if maintained separately or if segregable from a larger file.</p> <p>E. <u>DRAWINGS REFLECTING MINOR MODIFICATIONS</u><br/>Repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or if readily segregable from a larger file.</p> <p>F. <u>PAINT PLANS AND SAMPLES</u><br/>Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance, and plans and samples for painting appliances, elevators, and other mechanical parts of all buildings.<br/>NOTE: These records are not authorized for disposal if they are for the interior and exterior walls of buildings significant for historical, architectural, or technological reasons. See: B.1. of this Schedule, <b>OR</b> contact the NASA Records Officer or local Installation Records Manager.</p> | <p>NEEDED.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DISPOSE OF WHEN NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES. DONATION/OFFER MAY BE MADE TO THE DIRECTOR, SMITHSONIAN OR THE AIR &amp; SPACE MUSEUMS AS APPROPRIATE.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY WHEN SUPERSEDED OR AFTER THE STRUCTURE OR OBJECT HAS BEEN RETIRED FROM SERVICE.<br/>[GRS 17-3 and GRS 17-4]</p> <p>DESTROY WHEN THE FINAL WORKING/ AS-BUILT DRAWINGS HAVE BEEN PRODUCED.<br/>[GRS 17-5]</p> <p>DESTROY WHEN THE FINAL WORKING/ AS-BUILT DRAWINGS HAVE BEEN PRODUCED.<br/>[GRS 17-5]</p> <p>DESTROY WHEN SUPERSEDED OR AFTER THE STRUCTURE OR OBJECT HAS BEEN RETIRED FROM SERVICE.<br/>[GRS 17-6]</p> <p>DESTROY WHEN SUPERSEDED OR AFTER THE STRUCTURE OR OBJECT HAS BEEN RETIRED FROM SERVICE.<br/>[GRS 17-8]</p> <p>DESTROY WHEN SUPERSEDED OR AFTER THE STRUCTURE OR OBJECT HAS BEEN RETIRED FROM SERVICE.<br/>[GRS 17-9]</p> <p>DESTROY WHEN SUPERSEDED OR AFTER THE STRUCTURE OR OBJECT HAS BEEN RETIRED FROM SERVICE<br/>[GRS 17-10]</p> |
|              |             |   |   |
|              |             |   |   |
| <b>5900</b>  |             | <b>Contractor Financial Management and Reporting</b>  | (see below)   |

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**SCHEDULE 5**  
(AFS 5000-5999)

[illegible]

5-14



## NASA RECORDS RETENTION SCHEDULE 6

### TRANSPORTATION

This records schedule is one of a series of schedules approved by the Archivist of the United States, which furnish authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers/installations or offices. This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

The records described in this schedule pertain to the movement of goods and persons under Government orders. The records include bills of lading, transportation requests, vouchers, and similar records, including those prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual. Copies of some of these records used to support payments become a part of the accountable officers' accounts, or are accounting posting media. Their disposition and description may be covered by NASA Records Retention Schedule 9.

#### Movement of Goods

The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The documents related to and normally filed with the bill of lading are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other information which documents the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain valuables under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, documents relating to claims which may ensue, and other pertinent records.

#### Movement of Personnel

These records include copies of travel orders, authorizing travel and subsequent payment, and standard form vouchers showing payment for official travel. These records are covered under Schedule 9.

All records described in this schedule are authorized for disposal in both hard copy and electronic forms, as provided for under NASA Schedule 2, and NASA Schedule 10, Records Common to Most Offices.



# TRANSPORTATION

## SCHEDULE 6 (AFS 6000-6999)

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| AFS #            | ITEM       | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OR RECORD SERIES  | RETENTION<br><Authority>   |
|------------------|------------|---|--|
| <b>6000-6999</b> |            | <b>TRANSPORTATION</b>   | (see below)  |
|                  | <b>0.1</b> | <b>ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES</b><br><br>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.<br><br>This disposition applies to electronic copies of all items covered under Disposition Job N1-255-89-4 in the NASA Records Retention Schedule 6. This disposition does not apply to any item already covered by the General Records Schedules.<br><br>A. Electronic copies created on electronic mail and word processing systems that have no further administrative value after recordkeeping copy is made.<br><br>B. Electronic copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. | DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED AND DISSEMINATION, REVISION, OR UPDATING IS COMPLETED.<br><DA: N9-255-00-04><br><br>DELETE WHEN DISSEMINATION, REVISION OR UPDATING IS COMPLETED.<br><DA: N9-255-00-04>    |
|                  |            |   |  |
| <b>6000</b>      |            | <b>Transportation (General)</b>   | Contact Center Records Mgr.  |
| <b>6010</b>      |            | <b>Definition of Terms</b>  | Contact Center Records Mgr.  |
| <b>6020</b>      |            | <b>Transportation Officers</b>  | Contact Center Records Mgr.  |
| <b>6022</b>      |            | <b>Appointment and Responsibilities</b>   | Contact Center Records Mgr.  |
| <b>6030</b>      |            | <b>Transportation Planning</b>  | Contact Center Records Mgr.  |
| <b>6040</b>      |            | <b>Relationships with Other Government Agencies</b>   | Contact Center Records Mgr.  |
| <b>6041</b>      |            | <b>Participation before Regulatory Agencies</b>   | Contact Center Records Mgr.  |
| <b>6050</b>      |            | <b>Transportation Publications, Records, and Reports</b>  | Contact Center Records Mgr.  |
| <b>6051</b>      |            | <b>Preparation of Government Bills of Lading</b>  | (see below)  |
| 6051             | <b>1</b>   | <b>PREPAID BILLS OF LADING</b><br><br>A. <u>INBOUND SHIPMENTS</u><br>Documents relating to inbound shipments where freight charges are prepaid by the shipper. Included are receiving documents, commercial bills of lading, freight bills, transit privilege bills of lading cross-reference sheets, similar documents, and related correspondence.<br><br>B. <u>OUTBOUND SALVAGE</u><br>Documents relating to outbound shipments of salvage or rejected material to consignees who assume necessary freight charges for shipment.<br><br>C. All other copies.   | DESTROY WHEN 2 YEARS OLD<br><DA: N1-255-89-4> (N 22-8)<br><br>DESTROY WHEN 1 YEAR OLD.<br><DA: N1-255-89-4> (N 22-7)<br><br>DESTROY WHEN OBSOLETE, SUPERSEDED, OR WHEN 2 YEARS OLD WHICHEVER IS SOONER.<br><DA: N1-255-89-4> |
|                  |            |   |  |
| <b>6100</b>      |            | <b>Commercial Freight Services</b>  | (see below)  |
| 6100             | <b>2</b>   | <b>FREIGHT FILES (SHIPPING)</b><br><br>Records relating to freight consisting of export certificates, transit certificates, demurrage card record books, shipping documents pertinent to freight  |  |

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# TRANSPORTATION

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|-------------|----------|--|--|
|             |          | classification, memorandum copies of Government/commercial bills of lading, shortage and demurrage reports, original vouchers and support documents covering charges of settled fiscal accounts, including registers and other control documents, and all supporting documents, including records relating to the shipment of household goods.   |  |
|             |          | A. Issuing office copies of Government or commercial bills of lading commercial passenger transportation vouchers (SF 1113A) and transportation requests (SF 1169), travel authorizations and supporting documents.  | DESTROY 6 YEARS AFTER THE PERIOD OF THE ACCOUNT.<br>[GRS 9-1c]                                       |
|             |          | B. Records covering payment for freight/transportation charges for interstate transportation and international transportation by freight forwarders of unaccompanied baggage or privately owned vehicles shipped separate from household goods; the charges for which are published in tariffs lawfully on file with the Interstate Commerce Commission (ICC) or based on tenders or quotations, pursuant to Section 22 of the Interstate Commerce Act offering a reduction from the published ICC tariffs, EXCLUDING those covered by item 2D of this schedule.                             | DESTROY 6 YEARS AFTER THE PERIOD OF THE ACCOUNT.<br>[GRS 9-1a]                                       |
|             |          | C. Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by Item 2D of this schedule.  | DESTROY 6 YEARS AFTER THE PERIOD OF THE ACCOUNT.<br>{GRS 9-1a}                                       |
|             |          | D. Records covering payment for commercial freight/transportation charges for services for which 1) Notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved; 2) deduction or collection action has been taken; 3) voucher contains inbound transit shipment(s); 4) parent voucher has print of paid supplemental bill associated; 5) voucher has become involved in litigation; or, 6) any other condition that requires the voucher to be retained beyond the 3- or 6-year disposal period, such as detection of an overcharge/undercharge. | DESTROY WHEN 10 YEARS OLD.<br>[GRS 9-1b]   |
|             |          | E. Obligation copy of commercial passenger transportation vouchers.  | DESTROY WHEN FUNDS ARE OBLIGATED<br>[GRS 9-1d]   |
|             |          | F. Unused ticket redemption forms, such as SF 1170.  | DESTROY 3 YEARS AFTER THE YEAR IN WHICH THE TRANSACTION IS COMPLETED.<br>[GRS 9-1e]                  |
|             |          | G. All other offices/copies.   | DESTROY WHEN 1 YEAR OLD<br><DA: N1-255-89-4>   |
| <b>6110</b> |          | <b>Freight Rates, Charges and Classification</b>   | (see below)  |
| 6110        | <b>3</b> | <b>CARRIER RATE TENDER FILES</b><br><br>Documents relating to solicited or unsolicited tenders or reduced rates and/or tariffs submitted by commercial carriers for the transportation of freight.   | DESTROY 1 AFTER RATES OR TARIFFS BECOME SUPERSEDED OR RESCINDED<br><DA: N1-255-89-4> (N 22-10)       |
| <b>6120</b> |          | <b>Freight Traffic Negotiations</b>  | (see below)  |
| 6120        | <b>4</b> | <b>FREIGHT RATE NEGOTIATION FILES</b><br><br>Documents relating to negotiations with carriers or carrier's associations on transportation rates, freight classifications, and similar matters.   | DESTROY WHEN SUPERSEDED, OBSOLETE, OR WHEN NO LONGER REQUIRED FOR CURRENT OPERATIONS OR WHEN 3 YEARS |

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# TRANSPORTATION

# SCHEDULE 6 (AFS 6000-6999)

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|-------|------|--|--|
|       |      |  | OLD, WHICHEVER IS LATER.<br><DA: N1-255-89-4> (N 22-11)  |
| 6130  |      | <b>Carrier and Mode Selection</b>  | Contact Center Records Mgr.  |
| 6140  |      | <b>Accessorial Transportation Services</b>   | Contact Center Records Mgr.  |
| 6200  |      | <b>Traffic Management Programs</b>   | (see below)  |
| 6200  | 5    | <b>TRAFFIC MANAGEMENT FEASIBILITY STUDIES</b><br><br>Reports, publications, proposals, and all other documents relating to studies of various transportation modes and methods.  | DESTROY WHEN STUDY BECOMES OBSOLETE, SUPERSEDED, OR WHEN 3 YEARS OLD, WHICHEVER IS LATER.<br><DA: N1-255-89-4> |
| 6210  |      | <b>Procurement Traffic Management</b>  | Contact Center Records Mgr.  |
| 6220  |      | <b>Loss and Damage in Transit</b>  | (see below)  |
| 6220  | 6    | <b>LOST, DAMAGED, OR IMPROPER SHIPMENT FILES</b><br><br>Documents used for reporting shipments received from NASA agencies contractors, and other Government agencies in damaged or otherwise unsatisfactory condition because of deficiencies in preservation, packing, packaging, marking, loading, storage, or handling. Included are records of schedules of valuables shipped, correspondence reports, and other records relating to the administration of the Government Losses in Shipment Act. | DESTROY WHEN 6 YEARS OLD.<br>[GRS 9-2]   |
| 6300  |      | <b>Transportation of Unusual or Hazardous Cargo</b>  | Contact Center Records Mgr.  |
| 6310  |      | <b>Export Traffic</b>  | Contact Center Records Mgr.  |
| 6320  |      | <b>Import Traffic</b>  | Contact Center Records Mgr.  |
| 6330  |      | <b>Explosives and Other Dangerous Articles</b>   | (see below)  |
| 6330  | 7    | <b>SHIPMENT OF HAZARDOUS/RADIOACTIVE MATERIALS</b><br><br>Shipping forms and all related records concerning the shipment of hazardous/toxic wastes and radioactive materials.  | RETIRE RECORDS TO FRC WHEN 3 YEARS OLD. DESTROY WHEN 13 YEARS OLD.<br><DA: N1-255-89-4> (N 21-10)              |
| 6330  | 8    | <b>MOTOR CARRIERS EXPLOSIVE OPERATING AUTHORITY</b><br><br>Correspondence and related documents with commercial carriers concerning their facilities and procedures for transporting explosives and other dangerous articles.  | DESTROY 2 YEARS AFTER AUTHORITY IS SUPERSEDED OR RESCINDED.<br><DA: N1-255-89-4> (N 22-12)                     |
| 6340  |      | <b>Oversize and Overweight Cargo</b>   | (see below)  |
| 6340  | 9    | <b>SIZE AND WEIGHT LIMITS-HIGHWAY</b><br><br>Documents relating to individual state requirements regarding size and weight of vehicles permitted to travel state highways.   | DESTROY 1 YEAR AFTER REQUIREMENTS ARE SUPERSEDED OR RESCINDED.<br><DA: N1-255-89-4> (N 22-13)                  |
| 6350  |      | <b>Classified Cargo</b>  | Contact Center Records Mgr.  |
| 6400  |      | <b>Preparation and Handling of Cargo</b>   | Contact Center Records Mgr.  |
| 6410  |      | <b>Preservation, Packaging, and Packing Supplies and Equipment</b>   | Contact Center Records Mgr.  |
| 6420  |      | <b>Loading, Blocking and Bracing</b>   | Contact Center Records Mgr.  |
| 6430  |      | <b>Operation and Maintenance of Materials Handling Equipment</b>   | Contact Center Records Mgr.  |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# TRANSPORTATION

# SCHEDULE 6 (AFS 6000-6999)

This document is updated frequently, therefore, printed copies may be obsolete, refer to the Change History Log at the beginning of NPG 1441.1 in the NASA Online Directives Information System (NODIS) for current version.

| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OR RECORD SERIES  | RETENTION<br><Authority>  |
|-------|------|---|---|
| 6500  |      | <b>Special Airlift Services</b>   | Contact Center Records Mgr.   |
| 6600  |      | <b>Transportation and Transport Engineering</b>   | Contact Center Records Mgr.   |
| 6610  |      | <b>Movement of Large Launch Vehicles</b>  | Contact Center Records Mgr.   |
|       |      |   |   |
| 6620  |      | <b>NASA Transportability</b>  | (see below)   |
| 6620  | 10   | <b>HIGHWAY MOVEMENT PERMITS</b><br><br>Documents relating to permits obtained from pertinent state and local authorities for vehicular movements exceeding legal weight or dimension limitation, movement of hazardous waste/radioactive materials, or other legal requirements. Included are permits; documents reflecting such data as type of equipment, gross weight, axle or truck loads, height, width, and length; origin and destination of movement; nature of cargo; similar documents and related correspondence.  | DESTROY 3 YEARS AFTER COMPLETION OF MOVE * ALSO SEE ITEMS 7, 8, AND 9 OF THIS SCHEDULE.<br><DA: N1-255-89-4> (N 22-15)  |
|       |      |   |   |
| 6700  |      | <b>Motor Vehicle Operation and Management</b>   | (see below)   |
| 6700  | 11   | <b>MOTOR VEHICLE RECORDS — OPERATION AND MANAGEMENT</b><br><br>A. <u>CORRESPONDENCE</u><br>Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.<br><br>B. <u>PARKING PERMIT CONTROL FILES</u><br>Documents relating to the administration and allotment of parking spaces and used to control the issuance and withdrawal of permits and record violations by holders of permits.<br><br>C. <u>GASOLINE FILES</u><br>Documents relating to the issuance of gasoline, including issue forms and reports.<br><br>D. <u>VEHICLE REPORT FILES</u><br><br>1. Reports on motor vehicles (other than accident, operating, and maintenance reports), including SF 82, Agency Report of Motor Vehicle Data, and SF 82-D, Agency Report of Sedan Data.<br><br>2. Records relating to motor vehicle accidents, maintained by transportation offices, including SF 91, Motor Vehicle Accident, SF 91A, Investigation Report of Motor Vehicle Accident, and SF 94, Statement of Witness.<br><br>E. <u>VEHICLE RELEASE/REGISTRATION &amp; DRIVER RECORDS</u><br><br>1. Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97A, Agency Record Copy of U.S. Government Certificate of Release of Motor Vehicle.<br><br>2. Documents used for the registration of privately owned vehicles and information on individual drivers.<br><br>F. <u>OPERATOR RECORDS</u> | DESTROY WHEN 2 YEARS OLD<br>[GRS 10-1]<br><br>DESTROY UPON TRANSFER OR SEPARATION OF PERMIT HOLDER OR WHEN PERMIT IS SUPERSEDED OR REVOKED, WHICHEVER IS SOONER.<br><DA: N1-255-89-4> (N 12-25)<br><br>DESTROY WHEN 1 YEAR OLD.<br><DA: N1-255-89-4> (N 4-8)<br><br>DESTROY 3 YEARS AFTER DATE OF REPORT.<br>[GRS 10-4]<br><br>DESTROY 6 YEARS AFTER CASE IS CLOSED.<br>[GRS 10-5]<br><br>DESTROY 4 YEARS AFTER VEHICLE LEAVES AGENCY CUSTODY.<br>[GRS 10-6]<br><br>DESTROY 1 YEAR AFTER EXPIRATION OR REVOCATION.<br><DA: N1-255-89-4> (N 12-26) |
| 6710  |      |   |   |
| 6720  |      |   |   |
| 6730  |      |   |   |

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# TRANSPORTATION

# SCHEDULE 6 (AFS 6000-6999)

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| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OR RECORD SERIES  | RETENTION<br><Authority>   |
|-------|------|---|--|
| 6730  |      | Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.  | DESTROY 3 YEARS AFTER SEPARATION OF EMPLOYEE(S) OR 3 YEARS AFTER RECISION OF AUTHORIZATION TO OPERATE GOVERNMENT-OWNED VEHICLE, WHICHEVER IS SOONER.<br>[GRS 10-7]   |
|       | G.   | <u>TRIP TICKETS</u><br><br>Trip ticket files, includes daily trip tickets.  | DESTROY WHEN 1 YEAR OLD<br><DA: N1-255-89-4> (N 14-7)  |
| 6740  | H.   | <u>DAILY UTILIZATION RECORDS</u><br><br>Documents completed by dispatcher and operator to provide information relative to the daily use of vehicle(s).  | DESTROY AFTER REQUIRED TRANSFER OF INFORMATION TO OTHER RECORDS, UNLESS REQUIRED FOR ACCIDENT INVESTIGATION (SEE ITEM 11d(2)) OR TAX PURPOSES, OTHERWISE, DESTROY WHEN 3 YEARS OLD WHICHEVER IS SOONER.<br><DA: N1-255-89-4> (N 14-10) |
|       | I.   | <u>OPERATION AND MAINTENANCE FILES</u><br><br>1. Operating records including those relating to gas and oil consumption, dispatching, and scheduling.<br><br>2. Maintenance records, including those relating to service and repair.   | DESTROY WHEN 3 MONTHS OLD.<br>[GRS 10-2a]<br><br>DESTROY WHEN 1 YEAR OLD.<br>[GRS 10-2b]   |
| 6752  | J.   | <u>CAR SEAL BOOK FILES</u><br>Books containing accountable office records of the receipt and disposition of car seals and maintained to facilitate monthly inspection as to whether the seals were properly expended.   | DESTROY 1 YEAR AFTER DATE OF LAST ENTRY.<br><DA: N1-255-89-4> (N 22-6)   |
| 6770  | K.   | <u>VEHICLE COST FILES</u><br><br>Motor vehicle ledger and worksheets providing cost and expense data.   | DESTROY 3 YEARS AFTER DISCONTINUANCE OF LEDGER OR DATE OF WORKSHEET.<br>[GRS 10-3]   |
|       | L.   | <u>VIOLATION CASE FILES</u><br><br>Reports, statements of witnesses, warning notices, and other case papers relating to arrest, commitments, and traffic violations.  | DESTROY WHEN 2 YEARS OLD<br>[GRS 18-14b]   |
|       | M.   | <u>LEASED VEHICLES</u><br>Case files on vehicles leased from GSA, including agency's copy of GSA Form 1152, statements regarding service to vehicle by other than GSA, service and inspection work orders, and motor vehicle use records.<br><br>1. GSA Form 1152<br><br>2. All other records related to leased vehicles. | DESTROY 4 YEARS AFTER VEHICLE IS RETURNED TO GSA<br><DA: N1-255-89-4> (N 14-6a)<br><br>DESTROY 1 YEAR AFTER COMPLETION OF ACTION.<br><DA: N1-255-89-4> (N 14-6b)   |

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**SCHEDULE 6**  
(AFS 6000-6999)

[illegible]

6-6



## NASA RECORDS RETENTION SCHEDULE 7

### PROGRAM FORMULATION RECORDS

[SEE NOTE<sub>2</sub>]

This records schedule is one of a series of schedules approved by the Archivist of the United States, which furnish authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers/installations or offices. This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

The records described in Schedule 7 pertain to the management, planning, and administration of a Research & Development (R&D) program and to groups of projects and laboratory type organizations at field Centers/installations. Records in this category are created and accumulated by organizations that have overall management responsibility for programs or multiple-project activities. This schedule provides pertinent record categories and specifies the retention and dispositions for each.

Files relate to overall program administration and reflect planning, budgeting, scheduling, coordination, and management of the program. Files accumulated by offices of project managers who are responsible for the direct administration of the technical aspects of the program/system, should file these as part of the R&D Project Case File which is set forth in Schedule 8 - "Program Management." (SEE NOTE<sub>1</sub>)

The Program Office, normally at NASA Headquarters, is responsible for maintaining the administrative case file relating to a particular program/project, and for insuring the ongoing consolidation of essential documentation of the program. This activity includes records from time of inception, management of the program throughout its life, to program completion. Official records created during project/program management through to completion of the project are filed in the official R&D Project Case File located in Schedule 8.

**NOTE<sub>1</sub>:** PROJECT MANAGEMENT and PERFORMANCE RECORDS of an R&D Program are described in Schedule 8 which covers records created and accumulated by project organizations that have direct management control over in-house and/or contractor project activities. These files include individual basic research, applied research, and engineering development projects and as such are designated as either the project/program manager's files or the principle investigator's files and are considered a "PERMANENT" record series.

**NOTE<sub>2</sub>:** **THERE ARE NO GENERAL RECORDS SCHEDULES (GRS) THAT COVER R&D RECORDS. THEREFORE IF A CATEGORY OR SERIES OF RECORDS IS NOT LISTED IN THIS SCHEDULE OR SCHEDULE 8, DISPOSITION IS NOT AUTHORIZED. CONTACT YOUR INSTALLATION RECORDS MANAGER OR THE NASA RECORDS OFFICER FOR INSTRUCTIONS.**



# PROGRAM FORMULATION RECORDS

## SCHEDULE 7 (AFS 7000-7999)

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| AFS #            | ITEM       | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OR RECORD SERIES  | RETENTION<br><Authority>  |
|------------------|------------|---|---|
| <b>7000-7999</b> |            | <b>PROGRAM FORMULATION</b>  | (see below)   |
|                  | <b>0.1</b> | <b>ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES</b><br><br>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.<br><br>This disposition applies to electronic copies of all items covered under Disposition Jobs N1-255-94-3 and N1-255-94-2 in the NASA Records Retention Schedule 7, with the following exception:<br>-- Item 25C, subparts 1, 2, and 4 (Aircraft Files — Platform Aircraft — Operational (ARC Only))<br><br>In addition, this disposition does not apply to any item already covered by the General Records Schedules.<br><br>A. Electronic copies created on electronic mail and word processing systems that have no further administrative value after recordkeeping copy is made.<br><br>B. Electronic copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. | DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED AND DISSEMINATION, REVISION, OR UPDATING IS COMPLETED.<br><N9-255-00-04><br><br>DELETE WHEN DISSEMINATION, REVISION OR UPDATING IS COMPLETED.<br><N9-255-00-04>   |
|                  |            |   |   |
| <b>7000</b>      |            | <b>Program Formulation General</b>  | (see below)   |
| 7000             | <b>1</b>   | <b>R&amp;D CORRESPONDENCE FILES</b><br><br>Record copies of correspondence relating to management and operation of a laboratory or a program office. These are housekeeping files and do not include the official program or project files.   | RETIRE TO FRC 1 YEAR AFTER COMPLETION OR CANCELLATION OF THE PROGRAM. CANCELLATION OF THE PROGRAM.<br><DA: N1-255-94-3> (N 24-11)   |
|                  |            |   |   |
| 7000             | <b>2</b>   | <b>R&amp;D PROJECT CONTROL FILES</b><br><br>Copies of documents contained in project case files, preliminary sketches, drawings, specifications, and photographs determined by competent scientific and technical personnel not to be of sufficient value for incorporation into project case file, and correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents.<br><br>A. Director's office at performing field installation and Headquarters program offices.<br><br>B. Office of laboratory chiefs and directors supervising R&D projects.   | RETIRE TO FRC 2 YEARS AFTER COMPLETION, RENEWAL, TERMINATION OR CANCELLATION OF THE PROJECT. DESTROY WHEN 10 YEARS OLD.<br><DA: N1-255-94-3> (N 24-9)<br><br>DESTROY 2 YEARS AFTER COMPLETION, RENEWAL, TERMINATION, OR CANCELLATION OF THE PROJECT, OR EARLIER IF NO LONGER NEEDED.<br><DA: N1-255-94-3> |

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# PROGRAM FORMULATION RECORDS

# SCHEDULE 7 (AFS 7000-7999)

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| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OR RECORD SERIES  | RETENTION<br><Authority>   |
|-------|------|---|--|
|       |      | C. All other copies.  | DESTROY WHEN OBSOLETE OR<br>SUPERSEDED OR WHEN 3 YEARS<br>OLD, WHICHEVER IS SOONER.<br><DA: N1-255-94-3>   |
| 7000  | 3    | <b>R&amp;D SOURCE DATA FILES</b><br><br>Punch cards, electronic tape, or comparable media used to collect and assemble data of a preliminary or intermediate character generated from such processes as experiments or observations of a routine, repetitive nature, and used for reference in arriving at determinations in the conduct of research projects.  | SEE PAGE NOTE BELOW<br><br>HANDLE AS PERMANENT PENDING<br>RETENTION APPROVAL   |
| 7010  |      | <b>Agency Program Goals and Objectives</b>  | Contact Center Records Mgr.  |
| 7020  |      | <b>Long-range Planning</b>  | (see below)  |
| 7020  | 4    | <b>R&amp;D LONG RANGE PLANNING FILES</b><br><br>Documents involving the establishment of schedules to achieve NASA's long range research and development objectives, the formulation of new concepts and requirements in R&D for planning purposes and similar matters. Included are R&D long range plans, R&D forecasts, documents reflecting the evolution of these plans or forecasts, and documents contributing to the development of the plans or forecasts.<br><br>A. Headquarters offices performing the NASA-wide staff responsibility and office responsible for preparation of the plan and forecast.<br><br>B. Contributing offices (Headquarters and field installations).<br><br>C. All other offices/copies. | * PERMANENT *<br>RETIRE TO FRC 5 YEARS AFTER<br>SUPER-<br>SESSION OR COMPLETION.<br>TRANSFER TO NARA WHEN 10<br>YEARS OLD.<br><DA: N1-255-94-3> (N 24-1)<br><br>DESTROY 5 YEARS AFTER<br>SUPERSESSION OR COMPLETION.<br><DA: N1-255-94-3><br><br>DESTROY 2 YEARS AFTER<br>SUPERSESSION OR COMPLETION.<br><DA: N1-255-94-3> |
| 7030  |      | <b>Intermediate-Range Planing</b>   | Contact Center Records Mgr.  |
| 7040  |      | <b>Program Planning and Review</b>  | Contact Center Records Mgr.  |
| 7050  |      | <b>Low Cost Systems Program</b>   | Contact Center Records Mgr.  |
| 7060  |      | <b>Program and Project Logistics Policy</b>   | Contact Center Records Mgr.  |
| 7100  |      | <b>Research and Development Planning and Approval</b>   | (see below)  |
| 7100  | 5    | <b>R&amp;D PROJECT FILES - PLANNING AND APPROVAL</b><br><i>FINAL REPORTS AND COMPLETED PROJECTS - SEE<br/>SCHEDULE 8</i><br><br>A. <u>REPORTS</u><br>Reports prepared by the project manager or other project personnel, containing information about project progress and research, development, test, and evaluation tasks, including the identification, time phasing, requirements, and other information about planning and approval of the project and associated activities and findings.<br><br>1. <u>PUBLISHED REPORTS</u><br><br>(a) Installations' office of primary responsibility will maintain one  | * PERMANENT *<br>RETIRE TO FRC AT END OF FISCAL  |

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# PROGRAM FORMULATION RECORDS

# SCHEDULE 7 (AFS 7000-7999)

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|-------|------|---|--|
|       |      | <p>official record copy of each report which is published together with papers showing inception, scope, and background, including coordination papers and comments.</p> <p>NOTE: Reference copies may be maintained for related work</p> <p>(b) Working papers such as notes, rough drafts, galley proofs, background reports, and other such papers.</p> <p>2. <u>UNPUBLISHED REPORTS</u></p> <p>Installations' office of primary responsibility will mark and maintain one official record copy of each report that is written and circulated for NASA use but is not published in a "formal" series of reports for general or public dissemination.</p> <p>3. <u>PROGRAM/PROJECT DOCUMENTATION</u></p> <p>(a) Records that document management decisions and rationale for the establishment of a program/project office.</p> <p>(b) All other records.</p> <p>B. <u>TECHNICAL REPORTS</u></p> <p>These records consist of one copy of each preliminary, progress, or final R&amp;D technical report or publication prepared or issued by a field Installation or activity, or received from their respective contractor(s).</p> <p>1. Office of primary responsibility will maintain one record copy of each publication (marked "Official Copy") together with related papers showing inception, scope, and background.</p> <p>2. Other copies maintained for reference by any office, including all technical reports published and distributed by or for the Scientific and Technical Information function.</p> <p>C. <u>PROJECT LISTS</u></p> <p>Lists, card indexes, or other media reflecting in a comprehensive manner individual projects administered by the agency.</p> <p>D. <u>PLANNING FILES</u></p> <p>Official record set of the Project Development Plan, General Test Plan, System Safety Plan, Data Management Plan, Quality and Reliability Plan, Transportation Plan, Configuration Control Plan, Logistics Plan, and all other project planning documents. Documentation included may consist of concept, definition, design and development, evaluation, and operation data/records.</p> <p>1. Official record set as maintained either by the office of primary responsibility or the project office.</p> | <p>YEAR IN WHICH DOCUMENT IS PUBLISHED. TRANSFER TO NARA WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt; (N 25-6)</p> <p>DESTROY 1 YEAR AFTER DOCUMENT IS PUBLISHED.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RETIRE TO FRC WITHIN 2 YEARS AFTER COMPLETION OF RELATED PROJECT. DESTROY WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>* PERMANENT *<br/>RETIRE TO FRC WHEN 2 YEARS OLD. TRANSFER TO NARA WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN 1 YEAR OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>* PERMANENT *<br/>DOCUMENT MAY BE RETIRED TO FRC 1 YEAR AFTER PUBLICATION. TRANSFER TO NARA WHEN 25 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt; (N 24-4)</p> <p>SEND TO INSTALLATION LIBRARY FOR DESTRUCTION WHEN NO LONGER NEEDED FOR REFERENCE.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WITH RELATED PROJECT RECORDS. SEE A. AND D. OF THIS ITEM, AND ITEM 6 OF THIS SCHEDULE.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>* PERMANENT *<br/>RETIRE TO FRC 1 YEAR AFTER COMPLETION, CANCELLATION, OR TERMINATION OF RELATED</p> |

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# PROGRAM FORMULATION RECORDS

# SCHEDULE 7 (AFS 7000-7999)

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|-------|------|---|--|
|       |      | <p>2. Other working/reference copies and offices.</p> <p>E. <u>ADMINISTRATIVE - R&amp;D</u><br/>Administrative operations files, correspondence concerning routine or temporary administrative matters.</p>   | <p>PROJECT. TRANSFER TO NARA 10 YEARS AFTER SUBJECT ACTION OR WHEN 25 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-3&gt; (N 25-2)</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR ON COMPLETION OF THE PROJECT, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt; (N 1-9a), (N 24-18)</p>   |
| 7100  | 6    | <p><b>R&amp;D PROGRAM MANAGER CONTROL FILES</b></p> <p>These files reflect the control of research, development, procurement, and production of those equipment systems, which because of total cost, technical complexity, or number of project components, are required to have special or "program" management. These files, as such, are accumulated only by offices of those program managers who rely on other installations to contract for, and directly supervise, the technical and engineering aspects of the system.</p>  | <p>* PERMANENT *</p> <p>RETIRE TO FRC 2 YEARS AFTER COMPLETION, CANCELLATION, TERMINATION, OR SUSPENSION OF THE PROGRAM. TRANSFER TO NARA 10 YEARS AFTER SUBJECT EVENT OR WHEN 25 YEARS OLD WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-3&gt; (N 24-2)</p>  |
| 7100  | 7    | <p><b>EARTH OBSERVATIONS COMMERCIAL APPLICATIONS PROGRAM (EOCAP) (SSC ONLY)</b></p> <p>Stennis Space Center (SSC) manages, on behalf of NASA Office of Commercial Programs, an applications program, EOCAP, designed to develop commercial interest for NASA-developed Remote sensing technology. Proposals are received at NASA Headquarters as a part of a NASA Research Announcement (NRA). Selected proposals (projects) are transferred to SSC for general program management. Proposal files consist of the proposal (as received), funding documentation, deliverables, and schedules. Files are kept in the following format/organization:</p> <p>A. <u>EOCAP I PROPOSALS</u></p> <p>1. Selected proposals, scores, evaluations, recommendations, and funding information.</p> <p>2. Proposals not selected.</p> <p>B. <u>EOCAP I CONTRACTS</u></p> <p>Records include materials generated during proposal selection, Item A.</p> <p>C. <u>EOCAP I REPORTS</u></p> <p>Records consist of both quarterly and annual reports.</p> <p>D. <u>EOCAP I ADMINISTRATION/REVIEWS</u></p> <p>Records consist of administrative correspondence and communications; including program reviews and other related activities.</p> | <p>FUNDED PROPOSAL FILES WILL BE INCORPORATED INTO EOCAP I CONTRACT FILES.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN 1 YEAR OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY CONTRACT FILE 3 YEARS AFTER COMPLETION OF PHASE I. (THIS INCLUDES RECORDS INCORPORATED FROM a. ABOVE.)<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY REPORTS 3 YEARS AFTER COMPLETION OF PHASE I.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY 3 YEARS AFTER COMPLETION OF PHASE I.</p> |

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# PROGRAM FORMULATION RECORDS

# SCHEDULE 7 (AFS 7000-7999)

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|-------------|-----------|---|---|
|             |           | E. <u>EOCAP II RECORDS</u><br>EOCAP II records follow the same procedures and disposition instructions as EOCAP I <b>except</b> for EOCAP II proposals which are incorporated into the contract file for follow-on work to EOCAP I contracts, unless they are a separate contract.  | <DA: N1-255-94-3><br><br>SEE ABOVE ITEMS FOR DISPOSITION INSTRUCTIONS; PHASES CHANGE TO REFLECT NEW PROGRAM, I.E, DESTROY CONTRACTS 3 YEARS AFTER COMPLETION OF PHASE II.<br><DA: N1-255-94-3>  |
| 7100        | <b>8</b>  | <b>NASA RESEARCH ANNOUNCEMENTS (NRA)</b><br><br>Records consist of announcements encouraging the submission of research proposals. These announcements are usually made in circulated notices and letters, such as Space Science Notices, Applications Notices, and "Dear Colleague" letters. Selection of proposal has been made following peer or scientific (see Item 9 of this schedule) review of the proposals.   | TRANSFER ALL FILES TO THE RESPONSIBLE DIVISION/PROJECT 2 YEARS AFTER AWARD. RECORDS WILL BE INCORPORATED INTO THE OFFICIAL PROJECT FILE, OR GRANT/CONTRACT FILE.<br><DA: N1-255-94-3>   |
| 7100        | <b>9</b>  | <b>R&amp;D PEER REVIEW AND EVALUATIONS</b><br><br>A. <u>EXTERNAL REVIEWS</u><br>Investigative reports of peer reviews and evaluations, which may include but are not limited to "Dear College" letters concerning the feasibility of performing and acquiring the services of, or the performance of an unsolicited proposal from researchers and/or scientists.<br><br>1. Reports and proposals resulting in a project.<br><br>2. Reports and proposals not selected or rejected proposals.<br><br>B. <u>INTERNAL REVIEWS</u><br>Reports of peer reviews and evaluations including, but not limited to, proposals, slides/charts, letters, and a chairman's summary report concerning the research being performed by a specific group/individual of researchers and/or scientists.<br><br>1. Accepted proposals resulting in a project.<br><br>2. Rejected proposals. | FILE DOCUMENTATION WITH THE RELATED GRANT OR CONTRACT FILE; DESTROY ACCORDINGLY.<br><DA: N1-255-94-3><br><br>RETIRE TO FRC WHEN 1 YEAR OLD. DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-3><br><br>FILE WITH RELATED CASE FILE (GRANT OR CONTRACT); DESTROY ACCORDINGLY.<br><DA: N1-255-94-3><br><br>RETIRE TO FRC WHEN 1 YEAR OLD. DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-3> |
| <b>7110</b> |           | <b>Advanced Studies Planning and Approval</b>   | Contact Center Records Mgr.   |
| <b>7120</b> |           | <b>Project Planning and Approval</b>  | (see below)   |
| 7120        | <b>10</b> | <b>PROJECT APPROVAL DOCUMENTS (PAD)</b><br><br>Authorizations to initiate and carry out the project(s) within the scope defined in the PAD and within available allotted funds.<br><br>A. <u>HEADQUARTERS</u>   | * PERMANENT *<br>RETIRE FILES BY FISCAL YEAR TO FRC WHEN RETIRE FILES BY FISCAL   |

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# PROGRAM FORMULATION RECORDS

# SCHEDULE 7 (AFS 7000-7999)

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| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OR RECORD SERIES  | RETENTION<br><Authority>  |
|-------|------|---|---|
|       |      | B. <u>FIELD INSTALLATION</u>  | YEAR TO FRC WHEN OR WHEN 8 YEARS OLD, WHICHEVER IS SOONER. TRANSFER TO NARA WHEN 25 YEARS OLD.<br><DA: N1-255-94-3> (N 7-4)<br><br>DESTROY ANNUAL ACCOUNTS WHEN 2 YEARS OLD, AND NO YEAR ACCOUNTS WHEN 5 YEARS OLD.<br><DA: N1-255-94-3>  |
| 7120  | 11   | <b>MANAGEMENT PROJECT FILES</b><br><br>Surveys, analytical studies, background papers, notes, data, interim reports, final reports, and related papers pertaining to administrative functions.  | RETIRE TO FRC 3 YEARS AFTER COMPLETION, TERMINATION, OR CANCELLATION OF PROJECT. DESTROY WHEN 7 YEARS OLD.<br><DA: N1-255-94-3> (N 1-31)  |
| 7121  |      | <b>Phased Project Planning and Approval</b>   | (see below)   |
| 7121  | 12   | <b>R&amp;D SPECIFICATION FILES</b><br><br>Preliminary, experimental, and final specifications created in connection with engineering projects. Arrange by specification number or by project.<br><br>A. Office delegated responsibility for maintenance of official record sets.<br><br><br><br><br><br><br><br>B. All other offices/copies.                      | * PERMANENT *<br>RETIRE TO FRC WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 5 YEARS OLD WHICHEVER IS LATER. TRANSFER TO NARA WHEN 15 YEARS OLD.<br><DA: N1-255-94-3> (N 24-6)<br><br>DESTROY WHEN OBSOLETE, SUPERSEDED, OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br><DA: N1-255-94-3> |
| 7122  |      | <b>Other Project Planning and Approval</b>  | (see below)   |
| 7122  | 13   | <b>PUBLIC REACTIONS TO ESTABLISHMENT OF MAJOR PROJECTS</b><br><br>Correspondence with citizens, including municipal offices, expressing interest in or opposition to establishment of new field centers or new NASA construction programs. This correspondence usually cites adverse impacts upon the community.  | DESTROY 3 YEARS AFTER SELECTION OF SITE OR ABANDONMENT OF SITE SURVEY OR AFTER INCEPTION OF NEW PROGRAM WHICHEVER IS SOONER.<br><DA: N1-255-94-3>   |
| 7130  |      | <b>Supporting Research and Technology Planning and Approval</b>   | Contact Center Records Mgr.   |
| 7140  |      | <b>University Program</b>   | Contact Center Records Mgr.   |
| 7150  |      | <b>Project Scheduling and Implementation</b>  | (see below)   |
| 7150  | 14   | <b>RESEARCH AND TECHNOLOGY OBJECTIVES AND PLANS (RTOP)</b><br><br>Documents consist of, and are used for, management review and control of research currently in progress. RTOPs are designed to facilitate communication and coordination among technical personnel and to expedite the technology transfer process. RTOPs are arranged in 5 sections consisting | SEE PAGE NOTE BELOW   |

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# PROGRAM FORMULATION RECORDS

# SCHEDULE 7 (AFS 7000-7999)

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|-------|------------|--|--|
|       |            | <p>of the following: 1) citations and summaries of the RTOPs listed in ascending number order; 2) Subject indexes listing in alphabetical order main subject headings by which RTOPs have been identified; 3) Technical monitor index listing individuals responsible for RTOPs; 4) Responsible NASA organization index listing the NASA organization which developed the RTOPs contained in the Journal; and, 5) RTOP number index providing a cross-index from the RTOP number assigned by the responsible NASA organization to the corresponding accession number assigned sequentially to the RTOPs in the Summary.</p> <p>A. INSTALLATIONS - Office of Primary Responsibility</p> <p>B. HEADQUARTERS - Secretariat Office (Comptroller)<br/>(Records include Development &amp; Operations Reports.)</p> <p>C. All other offices/copies.</p> | <p>HANDLE AS PERMANENT PENDING RETENTION APPROVAL.<br/>(N 24-3)</p> <p>HANDLE AS PERMANENT PENDING RETENTION APPROVAL.</p> <p>HANDLE AS PERMANENT PENDING RETENTION APPROVAL.</p>  |
|       |            |  |  |
| 7150  | 15         | <b>R&amp;D INSTALLATION TEST SCHEDULING</b><br><br>Documents used by testing units to authorize, schedule, and control project testing and evaluation of models or prototypes in specialized facilities, such as wind tunnels, materials test laboratories, etc. Included are copies of project orders, copies of operating schedules, critical events, feeder reports, and related papers.  | RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 10 YEARS OLD.<br><DA: N1-255-94-3> (n 24-10)  |
|       |            |  |  |
| 7160  |            | <b>Project Termination</b>   | Contact Center Records Mgr.  |
| 7170  |            | <b>Human Research</b>  | (see below)  |
| 7170  | 16<br>PASR | <b>HUMAN EXPERIMENTAL AND RESEARCH DATA RECORDS - NASA 10 HERD</b><br><br>Records in this system consists of data obtained in the course of an experiment, test, or research medical data from inflight records; other information collected in connection with an experiment, test, or research. Included in this system of records is information about individuals who have been involved in space flight, aeronautical research flight, and/or participated in NASA tests or experimental or research program; Civil Service employees, military, employees of other government agencies, contractor employees, students, human subjects (volunteer or paid), and other volunteers on whom information is collected as part of an experiment or study.<br>NOTE: See Schedule 8 for Medical Records on Test Subjects.                         | ASTRONAUT RECORDS — SEE SCHEDULE 8. GROUND TEST AND RESEARCH DATA ARE RETAINED FOR VARYING PERIODS OF TIME DEPENDING ON THE NEED FOR USE OF THE FILES, AND ARE DESTROYED OR OTHERWISE DISPOSED OF WHEN NO LONGER NEEDED, EXCEPT THAT SIGNIFICANT MEDICAL DATA WILL BE HANDLED IN ACCORDANCE WITH OPM REGULATIONS AND NASA SCHEDULE 1.<br><DA: N1-255-94-3> |
|       |            |  |  |
| 7200  |            | <b>Institutional Planning and Approval</b>   | Contact Center Records Mgr.  |
| 7210  |            | <b>Establishment of Agency Institutional Goals and Objectives</b>  | Contact Center Records Mgr.  |
| 7220  |            | <b>Establishment of Center Institutional Goals and Objectives</b>  | Contact Center Records Mgr.  |
| 7230  |            | <b>Institutional Planning — Center Development</b>   | (see below)  |
| 7230  | 17         | <b>INSTITUTIONAL OPERATING PLAN (IOP)</b><br><br>Records in this series are used for the proposed operation plan for particular fund sources related to R&PM money. It is a part of the semiannual budget cycle and is considered working papers for the program/ project offices in the budgetary planning process, usually for the current year and next year monies.  | DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-3>   |

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**SCHEDULE 7**  
(AFS 7000-7999)

| <b>AFS #</b> | <b>ITEM</b> | <b>SUBJECT AREA OR RECORD TITLE<br/>DESCRIPTION OR RECORD SERIES</b>  | <b>RETENTION<br/>&lt;Authority&gt;</b>   |
|--------------|-------------|---|--|
|              |             |   |  |
| <b>7231</b>  |             | <b>Human Resources Planning and Plans</b>   | Contact Center Records Mgr.  |
| <b>7232</b>  |             | <b>Facility Master Planning and Plans</b>   | Contact Center Records Mgr.  |
| <b>7233</b>  |             | <b>Center Technical Capability Planning and Plans</b>   | Contact Center Records Mgr.  |
| <b>7234</b>  |             | <b>Center Institutional Capability Planning and Plans</b>   | Contact Center Records Mgr.  |
| <b>7235</b>  |             | <b>Site Selection</b>   | Contact Center Records Mgr.  |
| <b>7300</b>  |             | <b>Facility Planning and Approval</b>   | Contact Center Records Mgr.  |
| <b>7310</b>  |             | <b>Facility Requirements Determination</b>  | Contact Center Records Mgr.  |
| <b>7320</b>  |             | <b>Facility Design Standards, Criteria, and Procedures</b>  | (see below)  |
| 7320         | <b>18</b>   | <b>DRAWINGS - R&amp;D FACILITIES FILES</b><br><br>Preliminary, experimental, final design, and "as built" drawings created in connection with research and development projects, including reduced-size offset prints and aperture cards. Arrange by drawing number or by project.<br><br>A. Office delegated responsibility for maintenance of official record set.<br><br><br><br><br><br><br><br><br><br><br>B. Hard copies if maintained on aperture cards.<br><br><br><br><br><br><br><br><br><br><br>C. All other copies and offices. | <p>* PERMANENT *</p> <p>RETIRES TO FRC WHEN 5 YEARS OLD. IF FILED BY PROJECT, TRANSFER AFTER COMPLETION. TRANSFER TO NARA WHEN 25 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt; (N 24-5)</p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 10 YEARS OLD, WHICHEVER IS SOONER. HARD COPIES MAY BE RETIRED TO FRC WHEN 5 YEARS OLD AND DESTROYED WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN OBSOLETE, SUPERSEDED, OR NO LONGER NEEDED FOR REFERENCE, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-3&gt;</p> |
|              |             |   |  |
| <b>7330</b>  |             | <b>Facility Projects, Approval Authorities</b>  | Contact Center Records Mgr.  |
| <b>7340</b>  |             | <b>Industrial Facilities Planning and Approval</b>  | Contact Center Records Mgr.  |
| <b>7400</b>  |             | <b>Budget Formulation and Execution</b>   | (see below)  |
| 7400         | <b>19</b>   | <b>FINANCIAL REPORTS - CONTRACTS AND GRANTS</b><br><br>Consolidated agency-wide reports of financial and statistical data covering NASA contracts and grants.<br><br>A. Headquarters: OPR Copy<br><br>1. June issue:<br><br><br><br><br><br><br><br><br><br><br>2. All other issues:  | <p>RETIRES TO FRC 1 YEAR AFTER THE CLOSE OF THE FISCAL YEAR TO WHICH THEY PERTAIN. DESTROY 10 YEARS AFTER FISCAL YEAR TO WHICH THEY PERTAIN.<br/>&lt;N1-255-94-2&gt; (N 7-9)</p> <p>DESTROY 2 YEARS AFTER THE FISCAL YEAR TO WHICH THEY PERTAIN.<br/>&lt;DA: N1-255-94-3&gt;</p>   |

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**SCHEDULE 7**  
(AFS 7000-7999)

| <b>AFS #</b> | <b>ITEM</b> | <b>SUBJECT AREA OR RECORD TITLE<br/>DESCRIPTION OR RECORD SERIES</b>  | <b>RETENTION</b><br><b>&lt;Authority&gt;</b>  |
|--------------|-------------|---|---|
|              |             | B. All other copies/offices.  | DESTROY AS SOON AS ACTIVE REFERENCE VALUE CEASES OR WHEN 2 YEARS OLD WHICHEVER IS SOONER.<br><DA: N1-255-94-3>  |
| 7400         | <b>20</b>   | <b>ALLOTMENT OF FUNDS (504s)</b><br><br>Allotment of funds and memoranda concerning decisions on funding levels and changes.<br><br>A. Headquarters.<br><br><br><br>B. Field Installations.   | * PERMANENT *<br>RETIRE TO FRC WHEN 3 YEARS OLD FOR ANNUAL ACCOUNTS AND 5 YEARS FOR NO YEAR APPROPRIATIONS. TRANSFER TO NARA WHEN 10 YEARS OLD.<br><DA: N1-255-94-3> (N 7-3)<br><br>DESTROY ANNUAL ACCOUNTS WHEN 3 YEARS OLD AND NO YEAR ACCOUNTS WHEN 5 YEARS OLD.<br><DA: N1-255-94-3>  |
| 7400         | <b>21</b>   | <b>BUDGET AND PROGRAMMING RESOURCES/APPORTIONMENT FILES</b><br><br>A. Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule. Excluding files relating to agency policy and procedure maintained in formally organized budget offices.<br><br>B. Recurring reports of scientific research and development activities.<br><br>1. Headquarters.<br><br>2. All other copies/offices.<br><br>C. Special studies.<br><br>1. Headquarters.<br><br>2. All other copies/offices.<br><br>D. Apportionment and reapportionment schedules and memoranda schedules proposing obligations, transfers, etc., under each appropriation. | DESTROY WHEN 2 YEARS OLD.<br>[GRS 5-1] (N 7-8)<br><br>RETIRE 1 COPY OF EACH REPORT TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 8 YEARS OLD.<br><DA: N1-255-94-3><br><br>DESTROY WHEN NO LONGER NEEDED OR WHEN 2 YEARS OLD, WHICHEVER IS SOONER.<br><DA: N1-255-94-3><br><br>* PERMANENT *<br>RETIRE 1 COPY OF EACH REPORT TO FRC WHEN STUDY BECOMES INACTIVE. TRANSFER TO NARA WHEN 15 YEARS OLD.<br><DA: N1-255-94-3><br><br>DESTROY WHEN NO LONGER NEEDED OR WHEN 2 YEARS OLD WHICHEVER IS SOONER.<br><DA: N1-255-94-3> |

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# PROGRAM FORMULATION RECORDS

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|-------|------|--|--|
|       |      | 1. Headquarters.<br><br>2. All other copies/offices.<br><br>E. Budget report files consisting of periodic reports on the status of appropriation accounts and apportionment.<br><br>1. Annual report (end of fiscal year).<br><br>2. All other copies/offices.<br><br>F. Background working papers, cost statements, rough data, and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.<br><br>G. Budget estimates and justification files.<br><br>1. Copies of budget estimates and justifications prepared or consolidated in formally organized budget offices at the bureau (or equivalent) or higher organizational level. Included are appropriation language sheets, narrative statements, and related schedules and data.<br><br>2. Working copies, background materials, all other office/copies. | DESTROY 2 YEARS AFTER THE CLOSE OF THE FISCAL YEAR.<br>[GRS 5-4] (N 7-2)<br><br>DESTROY 2 YEARS AFTER THE CLOSE OF THE FISCAL YEAR.<br>[GRS 5-4]<br><br>DESTROY WHEN 5 YEARS OLD.<br>[GRS 5-3a]<br><br>DESTROY 3 YEARS AFTER THE END OF THE FISCAL YEAR.<br>[GRS 5-3b]<br><br>DESTROY 1 YEAR AFTER THE CLOSE OF THE FISCAL YEAR COVERED BY THE BUDGET.<br>[GRS 5-2] (N 7-6)<br><br>* PERMANENT *<br>RETIRE TO FRC BY FISCAL YEAR WHEN NO LONGER NEEDED FOR ACTIVE REFERENCE OR WHEN 10 YEARS OLD. TRANSFER TO NARA WHEN 20 YEARS OLD.<br><DA: N1-255-94-3> (N 7-1)<br><br>SEE ITEM F. OF THIS SCHEDULE.<br><DA: N1-255-94-3> |
| 7410  |      | <b>Budget Formulation and Execution — General</b>  | Contact Center Records Mgr.  |
| 7420  |      | <b>Preliminary Budget (Budget Review)</b>  | Contact Center Records Mgr.  |
| 7421  |      | <b>Budget Call-Instructions and Guidelines</b>   | Contact Center Records Mgr.  |
| 7422  |      | <b>Preparation and Submission of Estimates</b>   | Contact Center Records Mgr.  |
| 7423  |      | <b>Headquarters Review and Approval</b>  | Contact Center Records Mgr.  |
| 7430  |      | <b>Formulation of Annual Appropriation and Authorization Languages</b>   | Contact Center Records Mgr.  |
| 7440  |      | <b>President's Budget</b>  | Contact Center Records Mgr.  |
| 7441  |      | <b>Budget Call</b>   | Contact Center Records Mgr.  |
| 7442  |      | <b>Preparation and Submission of Estimates</b>   | Contact Center Records Mgr.  |
| 7443  |      | <b>Headquarters Review and Approval</b>  | Contact Center Records Mgr.  |
| 7444  |      | <b>External Agency Review and Approval</b>   | Contact Center Records Mgr.  |
| 7450  |      | <b>Congressional Budget</b>  | Contact Center Records Mgr.  |
| 7451  |      | <b>Budget Call</b>   | Contact Center Records Mgr.  |
| 7452  |      | <b>Preparation and Submission of Material</b>  | Contact Center Records Mgr.  |
| 7453  |      | <b>Headquarters Review and Approval</b>  | Contact Center Records Mgr.  |
| 7454  |      | <b>Preparation and Submission of Congressional Budget</b>  | Contact Center Records Mgr.  |
| 7460  |      | <b>Conduct of NASA Participation in Congressional Hearings (on Budget)</b>   | Contact Center Records Mgr.  |

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|-------|------|---|---|
| 7500  |      | <b>Commercialization (of NASA Technology and Systems)</b>   | Contact Center Records Mgr.   |
| 7600  |      | <b>Program Operating Plans</b>  | (see below)   |
| 7600  | 22   | <b>PROGRAM/PROJECT OPERATING PLAN (POP)</b><br><br>Associate Administrator and center program resources offices periodic request(s) for resource requirements against the proposed budget/planning for a particular project. Included are working papers in the program/ project office used in budget planning.  | DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-3>  |
| 7610  |      | <b>General Policies and Procedures</b>  | Contact Center Records Mgr.   |
| 7620  |      | <b>Research and Program Management</b>  | (see below)   |
| 7620  | 23   | <b>PROGRAM/PROJECT NAME FILES</b><br><br>Documents relating to the assignment of popular names to projects and major items of equipment (i.e. Shuttle orbiters, satellites, etc.). Included are correspondence concerning proposed names, minutes of meetings of Project Designation Committees, coordinating actions on the proposed names, approvals, and all other related documentation/materials.<br><br>A. Case files of the Associate Administrator for Public Affairs (Headquarters) and any Headquarters office or installation responsible for proposing projects to be named and recommending names.<br><br>B. All other offices/copies. | * PERMANENT *<br>RETIRE CASE FILES TO FRC WHEN 3 YEARS OLD. TRANSFER TO NARA WHEN 20 YEARS OLD.<br><DA: N1-255-94-3> (N 1-40)<br><br>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 2 YEARS OLD, WHICHEVER IS SOONER.<br><DA: N1-255-94-3> |
| 7630  |      | <b>Research and Development</b>   | Contact Center Records Mgr.   |
| 7640  |      | <b>Construction of Facilities</b>   | Contact Center Records Mgr.   |
| 7700  |      | <b>Human Resources Utilization</b>  | Contact Center Records Mgr.   |
| 7710  |      | <b>General</b>  | Contact Center Records Mgr.   |
| 7720  |      | <b>Determination of Human Resources Requirements</b>  | Contact Center Records Mgr.   |
| 7730  |      | <b>Personnel Complement Ceilings and Controls</b>   | Contact Center Records Mgr.   |
| 7740  |      | <b>Human Resources Utilization Programs and Reports</b>   | Contact Center Records Mgr.   |
| 7800  |      | <b>Resources Authority Allocation System</b>  | Contact Center Records Mgr.   |
| 7810  |      | <b>General</b>  | Contact Center Records Mgr.   |
| 7820  |      | <b>Research and Program Management (R&amp;PM)</b>   | Contact Center Records Mgr.   |
| 7830  |      | <b>Research and Development (R&amp;D)</b>   | (see below)   |
| 7830  | 24   | <b>RESOURCES AUTHORITY WARRANTS (506s)</b><br><br>Agency authorizations to utilize a stated amount of resources available to program and administrative offices (funds and/or personnel complement) for the execution of approved NASA Projects and activities (includes 506s original and sub-authorities).<br><br>A. <u>HEADQUARTERS</u> (OPR)<br><br>1. FISCAL YEAR ACCOUNTS (Recordkeeping Copy)  | CLOSE THE ACCOUNT AT THE END OF THE FIFTH FISCAL YEAR AFTER THE PERIOD OF AVAILABILITY FOR OBLIGATION ENDS. RECORDS MAY BE RETIRED TO AN FRC OR APPROVED STORAGE FACILITY ONE YEAR AFTER ACCOUNT  |

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| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OR RECORD SERIES  | RETENTION<br><Authority>   |
|-------|------|---|--|
|       |      | <p>2. NO YEAR ACCOUNTS (Recordkeeping Copy)<br/>NOTE: Close Account if (1) the head of the Agency or the President determines that the purposes for which the appropriation was made have been carried out; and (2) no disbursement has been made against the appropriation for two consecutive fiscal years.</p> <p>3. Electronic copies created on electronic mail and word processing systems.</p> <p>B. <u>FIELD INSTALLATIONS</u> (OPR)</p> <p>1. FISCAL YEAR ACCOUNTS (Recordkeeping Copy)</p> <p>2. NO YEAR ACCOUNTS (Recordkeeping Copy)<br/>NOTE: Close Account if (1) the head of the Agency or the President determines that the purposes for which the appropriation was made have been carried out; and (2) no disbursement has been made against the appropriation for two consecutive fiscal years.</p> <p>3. Electronic copies created on electronic mail and word processing systems.</p> <p>C. <u>ALL OTHER OFFICES/COPIES.</u></p> | <p>CLOSES. DESTROY 5 YEARS AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED.<br/>&lt;N1-255-96-3&gt; (N 7-5)</p> <p>RECORDS MAY BE RETIRED TO AN FRC OR APPROVED STORAGE FACILITY ONE YEAR AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED. DESTROY RECORDS 5 YEARS AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED.<br/>&lt;N1-255-96-3&gt;</p> <p>DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED.<br/>&lt;N1-255-96-3&gt;</p> <p>CLOSE THE ACCOUNT AT THE END OF THE FIFTH FISCAL YEAR AFTER THE PERIOD OF AVAILABILITY FOR OBLIGATION ENDS. RECORDS MAY BE RETIRED TO AN FRC OR APPROVED STORAGE FACILITY ONE YEAR AFTER ACCOUNT CLOSES. DESTROY 3 YEARS AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED.<br/>&lt;N1-255-96-3&gt;</p> <p>RECORDS MAY BE RETIRED TO AN FRC OR APPROVED STORAGE FACILITY ONE YEAR AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED. DESTROY RECORDS 3 YEARS AFTER FISCAL YEAR IN WHICH ACCOUNT(S) IS CLOSED.<br/>&lt;N1-255-96-3&gt;</p> <p>DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED.<br/>&lt;N1-255-96-3&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 1 YEAR OLD, WHICHEVER IS LATER. NOT AUTHORIZED FOR TRANSFER TO AN FRC.<br/>&lt;N1-255-96-3&gt;</p> |
| 7840  |      | <b>Construction of Facilities (C of F)</b>  | Contact Center Records Mgr.  |
| 7900  |      | <b>Aircraft Operations and Management</b>   | (see below)  |
| 7900  | 25   | <p><b>AIRCRAFT FILES</b></p> <p>A. <u>AIRBORNE DATA ACQUISITION</u><br/>These are files that are maintained at the Aircraft Management Office, Headquarters and at Field Installations. Typically files include information with respect to aircraft operations, cost, scheduling and tasking, usually relating to remote sensing research.<br/>NOTE: These files DO NOT include maintenance records which are</p>  |  |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# PROGRAM FORMULATION RECORDS

## SCHEDULE 7 (AFS 7000-7999)

This document is updated frequently, therefore, printed copies may be obsolete, refer to the Change History Log at the beginning of NPG 1441.1 in the NASA Online Directives Information System (NODIS) for current version.

| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OR RECORD SERIES  | RETENTION<br><Authority>   |
|-------|------|---|--|
|       |      | <p>maintained under a separate contract.</p> <ol style="list-style-type: none"> <li>General correspondence.</li> <li>Financial reports.</li> <li>Flight schedules.</li> <li>Job orders.</li> </ol> <p><b>B. <u>MAINTENANCE RECORDS (CURRENT/HISTORICAL)</u></b></p> <p>Records in this series include maintenance records for various aircraft located at NASA facilities. These records also may include some blueprints and sketches of parts used on the various aircraft that are in the inventory.</p> <p><b>C. <u>PLATFORM AIRCRAFT - OPERATIONAL</u> (ARC ONLY)</b></p> <ol style="list-style-type: none"> <li>Transferred Aircraft Records (hand copies and electronic copies).</li> <li>Aircraft no longer in inventory (non-current/inactive) (hard copies and electronic copies).</li> <li>Current/active aircraft maintained in agency inventory.<br/>OPR: Code OMM, Medium Altitude Missions Office within the Sciences and Applications Aircraft Division.</li> </ol> | <p>DESTROY WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY 2 YEARS AFTER THE FISCAL YEAR OF THE REPORT.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY 1 YEAR AFTER THE FLIGHT SEASON.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY 2 YEARS AFTER EXPIRATION.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RETIRE RECORDS TO ON-SITE STORAGE FOR 1 YEAR AFTER CLOSE OF FILE OR WHEN NO CLOSE OF FILE OR WHEN NO ON-SITE AS LONG AS AIRCRAFT IS IN AGENCY INVENTORY. IF AIRCRAFT IS TRANSFERRED TO ANOTHER AGENCY, TRANSFER RECORDS WITH AIRCRAFT. IF AIRCRAFT IS OTHERWISE DISPOSED OF OR DESTROYED, RECORDS WILL EITHER BE DESTROYED AT THAT TIME, WHEN NO LONGER NEEDED, OR WHEN 1 YEAR OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>TRANSFER ASSOCIATED RECORDS WITH THE AIRCRAFT WHEN IT LEAVES AGENCY INVENTORY. THIS INCLUDES TRANSFER OR DONATION TO A MUSEUM OR OTHER SUCH INSTITUTION.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY RECORDS ASSOCIATED WITH THE SPECIFIC AIRCRAFT WHEN IT IS DESTROYED, DISMANTLED, OR CANNIBALIZED AND NO LONGER ON THE AGENCY INVENTORY, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RETAIN ORIGINAL ON-SITE AT ARC WITH AIRCRAFT. EITHER TRANSFER RECORDS WITH ASSOCIATED PLANE OR DESTROY WHEN PLANE IS NO LONGER MAINTAINED IN THE INVENTORY, AS APPROPRIATE. (SEE ITEM b. ABOVE).<br/>&lt;DA: N1-255-94-3&gt;</p> |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# PROGRAM FORMULATION RECORDS

## SCHEDULE 7 (AFS 7000-7999)

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| AFS #       | ITEM | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OR RECORD SERIES  | RETENTION<br><Authority>  |
|-------------|------|---|---|
|             |      | <p>4. CAD System</p> <p>5. All other offices/copies.</p> <p>D. <u>CONFIGURATION MANAGEMENT FILES - VARIOUS AIRCRAFT</u><br/>Records in this series include documentation of inactive aircraft which are maintained by the Aircraft documentation office. These files may include, but are not limited to, Status Reports, Configuration Change Requests, System Test Reports and Discrepancy Reports.</p> | <p>RECORDS MAY BE DELETED WHEN 5 YEARS OLD OR WHEN AIRCRAFT LEAVES THE AGENCY INVENTORY, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN OBSOLETE, OR WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RETIRE RECORDS TO ON-SITE STORAGE FOR 1 YEAR. DESTROY WHEN OBSOLETE OR WHEN NO LONGER NEEDED FOR REFERENCE.<br/>&lt;DA: N1-255-94-3&gt;</p> |
|             |      |   |   |
| <b>7910</b> |      | <b>Aircraft Operations Management</b>   | Contact Center Records Mgr.   |
| <b>7920</b> |      | <b>Administrative Aircraft Management</b>   | Contact Center Records Mgr.   |
|             |      |   |   |
|             |      |   |   |
|             |      |   |   |
|             |      |   |   |
|             |      |   |   |
|             |      | <b>END OF SCHEDULE</b>  |   |
|             |      |   |   |
|             |      |   |   |
|             |      |   |   |
|             |      |   |   |

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## **NASA RECORDS RETENTION SCHEDULE 8**

### **PROGRAM MANAGEMENT RECORDS**

This records schedule is one of a series of schedules approved by the Archivist of the United States, which furnish authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers/installations or offices. This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

The records described in Schedule 8, pertain to the management and operation of NASA construction of facilities, architectural, and engineering design records. These records relate to the functions that create, control, formulate and prescribe real or personal property or facilities management policies and procedures used by activities and offices applying these procedures.

Records also included in this series/schedule are Research & Development (R&D) records that pertain to the management, operation, and performance of an R&D Project. Such records are created and accumulated by project organization that have direct management control of in-house and/or contractor project activities. Project files relate to basic and applied research, and engineering development projects. The Project Office, normally at the laboratory or division level at a field installation, is responsible for maintaining the official files, and is designated as the Office of Primary Responsibility (OPR). This office is responsible for maintaining the files relating to a particular project and for insuring the ongoing collection and consolidation of essential documentation for the project. When more than one laboratory at an installation or more than one installation works on a project, the lead project manager should establish procedures to insure that all files relating to the project are collected at a single designated location for retirement and transfer.

### **INSTRUCTIONS FOR DESIGN AND CONSTRUCTION FILES:**

#### **General Definitions and Guidelines to use with Design and Construction Files:**

Generally, drawings pertaining to the design process lose their administrative usefulness after the final construction plans are accepted; these records should be considered inactive after the completion of the construction project. Precise measured drawings, which are used during the construction process, have a continuing value during the life of the structure, especially for repair and maintenance projects. The original construction drawings as well as repair and alteration drawings (or microform copies) should be considered active while the structure is still used, maintained or owned by the Federal Government.

### **SEE DEFINITIONS - NEXT PAGE**

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## **DEFINITIONS:**

Preliminary Drawings: Drawings and sketches that are conceptual in nature. These drawings are usually freehand studies that show the basic design of the structure, include the arrangement of rooms, general appearance of elevations and floor plans, as well as other details under consideration.

Models: Three dimensional, reduced-scale models which are prepared for illustrative or presentation purposes.

Intermediate and Pre-final Drawings: Drawings which are created and reviewed in preparation of the final working drawings.

"As Built" Drawings: Annotated copies of final working drawings or additional drawings which show changes in the initial construction from the original design.

Shop Drawings: Detailed drawings prepared by construction contractors or subcontractors of particular parts of the building which they are to supply or by manufacturers of products to be assembled in their shops. These drawings which include plans for architectural embellishments and interior design such as tile and marble work, special cabinet work, elevators, or heating systems, not only provide instructions for assembling the products on the job site, but may also be necessary for future repair and preservation projects.

Repair and Alteration Drawings: Original drawings which depict repairs and alterations to the building as it was originally constructed.

Contract Drawings: Copies of the original workings on which contract negotiations are based.

Standard Drawings: Final drawings for standard details and other documents created in their preparation.

Space Assignment Plan(s): Drawings which depict outline floor plans used for space assignments.

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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| <u>AFS #</u>     | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|------------------|-------------|---|--|
| <b>8000-8999</b> |             | <b>PROGRAM MANAGEMENT</b>   | (see below)  |
|                  | <b>0.1</b>  | <p><b>ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES</b></p> <p>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p> <p>This disposition applies to electronic copies of all items covered under Disposition Jobs N1-255-94-3, N1-255-91-14, N1-255-91-6, N1-255-89-3, N1-255-90-1, N1-255-92-3, N1-255-88-1, and N1-255-90-4 in the NASA Records Retention Schedule 8, with the following exceptions:</p> <ul style="list-style-type: none"> <li>Item 5A, subpart 2, subpart on Electronic Data (R&amp;D Project Files, Temporary Records of Selected Project Case Files, Project Test, Engineering, and Evaluation Files: Electronic Data)</li> <li>Item 17 (R&amp;D Experimental Projects Data Files)</li> <li>Item 18B (Atmospheric Science Data (KSC Only), LDAR Records (Lightning Detection and Ranging))</li> </ul> <p>In addition, this disposition does not apply to any item already covered by the General Records Schedules.</p> <p>A. Electronic copies created on electronic mail and word processing systems that have no further administrative value after recordkeeping copy is made.</p> <p>B. Electronic copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> | <p>DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED AND DISSEMINATION, REVISION, OR UPDATING IS COMPLETED.<br/>&lt;DA: N9-255-00-05&gt;</p> <p>DELETE WHEN DISSEMINATION, REVISION OR UPDATING IS COMPLETED.<br/>&lt;DA: N9-255-00-05&gt;</p> |
| <b>8000</b>      |             | <b>Program Management — General</b>   | (see below)  |
| 8000             | <b>1</b>    | <p><b>DEFENSE INDUSTRIAL PLANT EQUIPMENT CENTER (DIPEC) LOAN</b></p> <p>Listings of tools or test equipment on loan from DIPEC to NASA contractor or NASA installation.</p>   | <p>DESTROY 1 YEAR AFTER COMPLETION OF LOAN.<br/>&lt;DA: N1-255-94-3&gt; (N 17-47)</p>  |
| 8000             | <b>2</b>    | <p><b>TOOL DRAWING FILES</b></p> <p>A. Vellums, original drawings, and tracings used in the</p>   | <p>DESTROY WHEN SUPERSEDED OR OBSOLETE.</p>  |

NOTE: Only AFS numbers with defined subjects are used. -- RETENTION -- For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|--|--|
|              |             | <p>manufacture of individual components, with related records or comparable documents maintained as a record of tool design and to facilitate reference to the drawings.</p> <p>B. All other copies.</p>   | <p>&lt;DA: N1-255-94-3&gt; (N 20-9)</p> <p>DESTROY WHEN OBSOLETE OR SUPERSEDED OR WHEN 5 YEARS OLD WHICHEVER IS SOONER.</p> <p>&lt;DA: N1-255-94-3&gt;</p>   |
| 8000         | 3           | <p><b>DATA FILES ON ORGANIC MATERIALS USED IN CONSTRUCTION OF PLANETARY SPACECRAFT</b></p> <p>Documentation produced by installations, contractors, subcontractors and other suppliers, for research and development projects related to planetary flight mission hardware, which includes information relative to the organic materials used on spacecraft destined for planetary landing. Documentation shall include all listings, drawings, test results, parts lists, and specifications pertinent to the organic materials content of the spacecraft as flown.</p> | <p>RETIRE TO FRC AT END OF MISSION, OR WITHIN 6 MONTHS AFTER LAUNCH, WHICHEVER IS SOONER. RETAIN FOR 20 YEARS THEN REVIEW WITH NASA's PLANETARY QUARANTINE OFFICER FOR AUTHORIZATION TO DESTROY.</p> <p>&lt;DA: N1-255-94-3&gt;</p>  |
| 8000         | 4           | <p><b>R&amp;D CORRESPONDENCE FILES</b></p> <p>A. <u>GENERAL ADMINISTRATIVE</u></p> <p>Records in this series consists of copies of correspondence and documentation relating to the administrative management and housekeeping operations of a laboratory or a program office. Files may include: Action/Suspense files; general correspondence; and, routine office actions and correspondence.</p>   | <p>RETIRE TO FRC 1 YEAR AFTER COMPLETION, CANCELLATION, OR TERMINATION OF THE RELATED PROGRAM/ PROJECT. DESTROY WHEN 5 YEARS OLD.</p> <p>&lt;N1-255-91-14&gt; (N 24-11)</p> <p>LONG-TERM PROJECTS MAY RETIRE RECORDS TO FRC PRIOR TO THE ABOVE EVENTS. RETIRE RECORDS IN 5-YEAR BLOCKS AND DESTROY WHEN 10 YEARS OLD. EARLIER DESTRUCTION MAY BE AUTHORIZED IF APPROVAL IS OBTAINED FROM THE CENTER DIRECTOR OR COGNIZANT PROJECT MANAGER/ SCIENTIST.</p> <p>&lt;DA: N1-255-94-3&gt;</p> |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|--|--|
|              |             | <p>B. <u>PROJECT CORRESPONDENCE - OTHER</u></p> <p>Correspondence relating to a project and not a part of the project manager's files. This series may include correspondence and files kept by offices subordinate to the project manager. These are not routine administrative/housekeeping files, they are miscellaneous project correspondence files.</p> <p>C. All other offices/copies.</p>  | <p>RETIRE TO FRC 1 YEAR AFTER COMPLETION, CANCELLATION, OR TERMINATION OF THE PROJECT. DESTROY 5 YEARS THEREAFTER.</p> <p>LONG-TERM PROJECTS MAY RETIRE RECORDS TO FRC PRIOR TO ABOVE EVENTS. RETIRE RECORDS IN 5-YEAR BLOCKS AND DESTROY WHEN 25 YEARS OLD.<br/>&lt;N1-255-94 -3&gt;.</p> <p>DESTROY WHEN REFERENCE VALUE CEASES OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;N1-255-91-14&gt;</p> |
| 8000         | 5           | <p><b>R&amp;D PROJECT FILES</b></p> <p>These records reflect a complete history of each project from initiation through research, development, design and testing, to completion. Records in this series are typically maintained in a central file by the project office, which is considered the primary office of responsibility (OPR). Records designated for permanent retention will be clearly identified by the OPR and maintained separately from records considered temporary while in the custody of NASA. Selected case files are to be retired separately from other case files to the Federal Records Center (FRC)</p> <p>Typical case files include, but are not limited to:</p> <p>Incoming/outgoing correspondence and memoranda;<br/>Procurement files (cost and scheduling);<br/>Project Authorization Documents (PAD);<br/>TU application engineering documentation (where applicable);<br/>Project cards; Test and trial results;</p> |  |

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**PROGRAM MANAGEMENT RECORDS****SCHEDULE 8**  
(AFS 8000-8999)

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| <u>AFS #</u> | <u>ITEM</u> | <b>SUBJECT AREA OR RECORD TITLE</b><br><b><u>DESCRIPTION OF RECORD SERIES</u></b>  | <b>RETENTION</b><br><u>&lt;Authority&gt;</u> |
|--------------|-------------|--|--|
|              |             | <p>Drawings, specifications, photographs, and videos;<br/>Technical, status, and progress reports<br/>Notice of completion, cancellation, or termination;<br/>Data location files; Project review files;<br/>Final project records/reports.</p> <p>NOTE: This series does not include test results maintained at NASA or contractor laboratories or comparable level. These records are covered by Item 17 of this Schedule.</p> <p>A. <u>SELECTED PROJECT CASE FILES</u></p> <p>This series consists of records that are of particular significance for documenting NASA R&amp;D projects. The following selection criteria will be used to determine if a project falls within this disposal authority.</p> <p>PROJECTS THAT LEAD TO:</p> <ul style="list-style-type: none"><li>• The discovery of new science, reveal new facts or concepts useful for future research, or confirm less firmly based existing bodies of knowledge</li><li>• Development of a "first of its kind" product or process;</li><li>• Establish a precedent for significantly changing NASA research, agency policy, internal organization, or legislative action;</li><li>• Contributes significant data that broadens knowledge in a field of science or substantively effects a key public policy issue;</li><li>• Results in significant social, political, or scientific controversy;</li><li>• Is subject to widespread national or international media attention or the subject of Congressional or agency scrutiny or investigation</li><li>• Results in a significant improvement in processing or production; and/or,</li><li>• Results in a significant net application of an existing product or process.</li></ul> <p>1. <u>PERMANENT Records in this series include:</u></p> | <p>* PERMANENT *</p>                         |

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## PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|---|---|
|              |             | <p><u>R&amp;D Status Reports</u><br/>Documents reflecting the master plan for research, development, and test of a designated equipment system. Plans are used as a management tool and as a means of informing higher level management of the status. Included are project management master plans, superseded and obsolete parts of the plans, studies and reports used to keep the plan current, and related documents.</p> <p><u>Authorization Files</u><br/>Documents reflecting actions leading up to and including the authorization for initiation of a project. Included are: Project Planning Documents (PPD), Project Authorization Documents (PAD).</p> <p><u>Specification and Drawing Files</u><br/>Original drawings that have not been microfilmed OR silver halide aperture cards of original drawings and specifications that show experimental, preliminary, and final versions created in connection with the project. Original drawings that have been microfilmed (and microfilm has been verified in accordance with 36 CFR, Part 1230, /1230.14) are no longer considered the "archival" or permanent record and may be disposed of in accordance with B this item or when no longer needed, whichever is sooner.</p> <p><u>Reference Reports</u><br/>Technical, progress, or test reports issued, or received in connection with the project including feasibility, cost, effectiveness, and contractor reports.</p> <p><u>Review Files</u><br/>Documents or other media produced which document Preliminary Requirements Reviews, Preliminary Design Reviews, Critical Design Reviews, Configuration Inspections, Design Certification Reviews, Flight Readiness Reviews, and Post Flight Evaluations</p> | <p>RECORDS MAY BE RETIRED TO AN FRC WHEN 2 YEARS OLD. TRANSFER TO NARA 15 YEARS AFTER COMPLETION OF THE PROJECT OR WHEN 25 YEARS OLD, WHICHEVER IS SOONER<br/>&lt;DA: N1-255-94-3&gt; (N 25-1a(2))</p> <p>(N 25-1a(3))</p> <p>(N 25-1a(4))</p> <p>(N 25-1a(9))</p> <p>(N 25 1a(10))</p> |

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## PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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| <u>AFS #</u> | <u>ITEM</u> | <b>SUBJECT AREA OR RECORD TITLE</b><br><b><u>DESCRIPTION OF RECORD SERIES</u></b>  | <b>RETENTION</b><br><b><u>&lt;Authority&gt;</u></b>  |
|--------------|-------------|--|--|
|              |             | <p><u>Termination Files</u><br/>Documents reflecting notices or authority for completion or termination of a project or task, such as technical committee action, or termination notice, indicating R&amp;D work on a particular project or task has been completed/terminated.</p> <p><u>Project Scientists Files</u><br/>Files that are not duplicated in a central Project Office file or project case file. These should be transferred as an integral whole and should be considered an adjunct to the central project office file.</p> <p><u>Final Reports</u><br/>Records include reports for completed projects, cancelled, terminated, or suspended projects.</p> <p><u>Audiovisual Records</u><br/>Records that document R&amp;D project activities and are considered by the Project Office to be an integral part of selected case files.</p> <ul style="list-style-type: none"> <li>• Film: Also See Schedule 1-71B</li> <li>• Stills: Also See Schedule 2-23C</li> <li>• Videos: Also See Schedule 2-24C</li> </ul> <p>2. TEMPORARY RECORDS OF SELECTED PROJECT CASE FILES</p> <p>Records in this series include:</p> <p><u>R&amp;D Correspondence</u></p> <p><u>Procurement Files</u><br/>Copies of R&amp;D contract, grant, or agreement associated with the accomplishments of the project with changes, modifications, or addenda thereto. (THIS IS THE PROJECT OFFICES' FILES, <u>NOT</u> THE PROCUREMENT OFFICE FILE.)</p> <p><u>Project Test, Engineering, and Evaluation Files</u></p> | <p>(N 25-1a(11))</p> <p>TRANSFER WITH SELECTED PROJECT CASE FILE.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>SEE ITEM 4 OF THIS SCHEDULE.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RECORDS MAY BE RETIRED TO AN FRC WHEN 2 YEARS OLD. DESTROY WHEN 15 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RECORDS MAY BE RETIRED TO AN FRC WHEN 2 YEARS OLD.</p> |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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| <u>AFS #</u> | <u>ITEM</u> | <b>SUBJECT AREA OR RECORD TITLE</b><br><b><u>DESCRIPTION OF RECORD SERIES</u></b>  | <b>RETENTION</b><br><b><u>&lt;Authority&gt;</u></b>  |
|--------------|-------------|--|--|
|              |             | <p>Records relating to the testing and evaluation of R&amp;D items to make sure that design, technical and characteristics requirements are met and to provide information for corrective actions, research, environmental, engineering, service, and other test directives plans and preliminary and final reports; firing reports, calculations, working papers, related correspondence; comparable test data; and, audio visual records that are routine and repetitive in nature.</p> <p>Electronic Data: See above description.</p> <p>Film:</p> <p>Stills and Video:</p> <p><u>Meeting Files</u><br/>Copies of minutes of meetings, conferences, reports, trip reports, reports of consultations, and similar papers pertaining to the project.</p> <p><u>Data Location Files</u><br/>Cross references or notations as to the existence and location of scale models; experimental hardware, motion picture films, and comparable items which are not filed with the project files.</p> <p><u>Spacecraft Files - Post Launch/Engineering</u><br/>Logs and data describing the operations and performance of the various functions of the spacecraft or satellite, revealing malfunctions, attitude, environmental conditions which may be used to check ongoing operations and to introduce engineering improvements into the design of late or similar spacecraft; this series includes reports, technical notes, microfilm plots, memoranda, correspondence, and</p> | <p>DESTROY WHEN 15 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt; (N 25-1a(5))</p> <p>DISPOSITION NOT AUTHORIZED AT THIS TIME.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>SEE SCHEDULE 1-71 B.3.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>SEE SCHEDULE 2--23 and 2-24.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RECORDS MAY BE RETIRED TO AN FRC WHEN 2 YEARS OLD.<br/>DESTROY WHEN 15 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt; (N 25-1a(7))</p> <p>RECORDS MAY BE RETIRED TO AN FRC WHEN 2 YEARS OLD.<br/>DESTROY WHEN 15 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt; (N 25-1a(8))</p> <p>RECORDS MAY BE RETIRED TO AN FRC WHEN 2 YEARS OLD.<br/>DESTROY WHEN 15 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt; (N 25-1(12))</p> |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|---|---|
|              |             | <p>related papers/ documentation.</p> <p><u>Office Project Files - Summarized</u><br/>Office files relating to relatively small research projects where data and results are summarized in a research report which is usually disseminated throughout NASA.</p> <p>3. ALL OTHER COPIES/OFFICES</p> <p>Offices maintaining working or reference copies of any of the above record series of R&amp;D project papers/documentation.</p> <p>B. <u>NONSELECTED PROJECT CASE FILES</u></p> <p>1. Records in this series include those projects that do not meet the selection criteria identified in A above.</p> <p>2. ALL OTHER COPIES/OFFICES</p> <p>Offices maintaining working or reference copies of any of the above records series of R&amp;D projects that do not meet the selection criteria identified in 5-A or in B-1 above.</p> | <p>RECORDS MAY BE RETIRED TO AN FRC WHEN 2 YEARS OLD. DESTROY WHEN 15 YEARS OLD. &lt;DA: N1-255-94-3&gt; (N 25-1b)</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE, OR UPON COMPLETION, TERMINATION, CANCELLATION, OR SUS-PENSION OF THE PROJECT, OR WHEN 5 YEARS OLD, WHICH-EVER IS SOONER &lt;DA: N1-255-94-3&gt; (N 25-1c)</p> <p>RECORDS MAY BE RETIRED TO AN FRC WHEN 2 YEARS OLD. DESTROY WHEN 15 YEARS OLD. &lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE, OR UPON COMPLETION, TERMINATION, CANCELLA-TION, OR SUSPENSION OF THE PROJECT, OR WHEN 5 YEARS OLD WHICHEVER IS SOONER &lt;DA: N1-255-94-3&gt;</p> |
|              | <b>6</b>    | <b>RESERVED</b>   |   |
| 8000         | <b>7</b>    | <p><b>R&amp;D APOLLO DOCUMENTAION ADMINISTRATION FILES</b></p> <p>A. <u>APOLLO DOCUMENTATION SYSTEM</u></p> <p>A listing of documentation covering the Apollo Documentation System consisting of record copies of 3</p>   | <p>THIS IS A CLOSED SERIES</p> <p>(N 24-8)</p>  |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|--|---|
|              |             | <p>documents: (1) Center Apollo Document Index, Appendix "A"; (2) Center Apollo Document Index, Numerical Listing by Level Category, Control Number; (3) Center Apollo Document Index Alphabetical Listing. The system will provide for continual management review to eliminate duplicate or nonessential requirements and reduce cost related thereto. Included are supporting papers reflecting changes to basic documents.</p> <p>1. Paper Records.</p> <p>2. Microfilm Records.<br/>(Includes silver original and diazo copy.)</p> <p>3. All other offices, paper or microfilm copies.</p> <p>B. <u>CONSTRUCTION OF FACILITIES &amp; R&amp;D/GROUND SUPPORT EQUIPMENT (GSE)</u></p> <p>Documentation relating to Apollo and projects initiated by the Apollo program (R&amp;D/GSE and C of F) which includes drawings, specifications, technical manuals, electronic/ computer media, photos, test reports, Operations &amp; Maintenance (O&amp;M) documentation, constructions files, and, Information for Bids (IFB).</p> <p>1. Office of Primary Responsibility</p> <p>a. Paper Records.</p> | <p>DESTROY AFTER VERIFI-CATION / CERTIFICATION OF MICROFILM, OR 1 YEAR AFTER CERTIFICATION OF NO LONGER NEEDED FOR USE.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>* PERMANENT *<br/>TRANSFER TO NARA WHEN 30 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE PURPOSES OR WHEN 10 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY AFTER VERIFICA-TION / CERTIFICATION OF MICROFILM, OR 1 YEAR AFTER CERTIFICATION OF NO LONGER</p> |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|--|---|
|              |             | <p>b. Microfilm Records.<br/>(Includes silver original and diazo copy)</p> <p>2. All other offices, paper or microfilm copies.</p>   | <p>NEEDED FOR USE.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>* PERMANENT *<br/>RETAIN ON-SITE. RETIRE TO FRC<br/>WHEN 20 YEARS OLD AND<br/>TRANSFER TO NARA WHEN 30<br/>YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN NO LONGER<br/>NEEDED FOR REFERENCE<br/>PURPOSES OR WHEN 10 YEARS<br/>OLD, WHICHEVER IS SOONER<br/>&lt;DA: N1-255-94-3&gt;</p> |
| 8005         |             | Major Flight and Development   | Contact Center Records Mgr.   |
| 8010         |             | Major Flight and Development -- General  | Contact Center Records Mgr.   |
| 8020         |             | Program Control  | Contact Center Records Mgr.   |
| 8030         |             | Flight Experiments and Tasks   | (see below)   |
| 8030         | 8           | <p><b>SPACE FLIGHT EXPERIMENT/INVESTIGATIONS<br/>REDUCED DATA</b></p> <p>Digital tapes that contain all the basic and supporting measurements after they have been selected, processed, and reduced to the final form that best represents the scientific knowledge obtained from the investigation.</p> <p>NOTE: These Records are MAINTAINED at the NATIONAL SPACE SCIENCE DATA CENTER (NSSDC) operated by Goddard Space Flight Center (GSFC).</p> | <p>SEE PAGE NOTE BELOW</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION APPROVAL</p>  |
| 8040         |             | Configuration Control  | (see below)   |
| 8040         | 9           | <p><b>CONFIGURATION CONTROL BOARD (CCB)<br/>RECORDS</b></p> <p>Records such as notices of meetings, change requests, minutes, documentation, changes to documentation, directives, etc.</p> <p>A. Program level (kept as a part of case file in R&amp;D Program/ or project. [See also Item 5 of this Schedule.]</p>   | <p>RETIRE TO FRC WHEN 2 YEARS<br/>OLD. DESTROY WHEN 30 YEARS<br/>OLD. EARLIER DESTRUCTION IS</p>  |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|---|---|
|              |             | B. Project office level.  | AUTHORIZED UPON RECEIPT OF SPECIFIC AUTHORIZATION FROM PERTINENT CENTER DIRECTOR OR PROGRAM MANAGER.<br><DA: N1-255-94-3><br><br>SEE DISPOSITION ABOVE.<br><DA: N1-255-94-3>                                  |
| 8040         | 10          | <b>CONFIGURATION MANAGEMENT FILES - SPACE SHUTTLE</b><br><br>Records in this series consist of Baseline Level III documentation with specific requirements applicable to the projects, e.g., solid rocket booster and redesigned motor; main engine; etc. The following records are considered a part of this series, but the series is not limited to these records only: <ul style="list-style-type: none"> <li>• Level I and II requirements;</li> <li>• Design and Performance requirements</li> <li>• Interface; Verification; Training Requirements;</li> <li>• Design, construction, and assembly and installation standards and specifications;</li> <li>• Design concepts, approaches, and solutions; and,</li> <li>• Product configuration descriptions.</li> </ul> | * PERMANENT *<br>RETAIN RECORDS AT CENTER UNTIL COMPLETION, CANCELLATION, OR TERMINATION OF THE PROJECT. RETAIN OR RETIRE RECORDS TO AN FRC FOR 10 YEARS THEN TRANSFER TO NARA.<br><DA: N1-255-94-3>          |
| 8050         |             | <b>Systems Integration and Checkout</b>   | Contact Center Records Mgr.   |
| 8060         |             | <b>Systems Design</b>   | (see below)   |
| 8060         | 11          | <b>DESIGN AND ENGINEERING DRAWINGS FOR FABRICATION OF DISPLAY MODELS AND EXHIBITS</b><br><br>A. Original vellum drawings.<br><br><br><br><br><br><br><br>B. All other offices/copies.   | RETIRE TO FRC WHEN NO LONGER NEEDED OR WHEN 2 YEARS OLD. DESTROY 8 YEARS LATER.<br><DA: N1-255-94-3> (N 9-1d)<br><br>DESTROY WHEN NO LONGER NEEDED OR WHEN 5 YEARS OLD, WHICHEVER IS LATER. <DA: N1-255-94-3> |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|--|--|
| <b>8070</b>  |             | <b>Technical Standards and Specifications</b>  | (see below)  |
| 8070         | <b>12</b>   | <b>STANDARDS AND SPECIFICATION FILES</b><br><br>Preliminary, experimental, and final standards/specifications created in connection with engineering projects. Arrange by specification number or by project.<br><br>A. Office of Primary Responsibility (OPR).<br><br><br><br><br>B. All other offices/copies.  | * PERMANENT *<br>RETIRE TO FRC WHEN NO LONGER NEEDED FOR REFERENCE. TRANSFER TO NARA WHEN 15 YEARS OLD. <DA: N1-255-94-3> (N 24-6)<br><br>DESTROY WHEN OBSOLETE OR SUPERSEDED, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER. <DA: N1-255-94-3> |
| <b>8071</b>  |             | <b>Structures, Mechanical, and Thermal</b>   | Contact Center Records Mgr.  |
| <b>8072</b>  |             | <b>Materials and Processes</b>   | Contact Center Records Mgr.  |
| <b>8073</b>  |             | <b>Power and Electrical</b>  | Contact Center Records Mgr.  |
| <b>8074</b>  |             | <b>Communication/Data Handling/Information Systems</b>   | Contact Center Records Mgr.  |
| <b>8075</b>  |             | <b>Electronics and Avionics</b>  | Contact Center Records Mgr.  |
| <b>8076</b>  |             | <b>Fluids, Propulsion</b>  | Contact Center Records Mgr.  |
| <b>8077</b>  |             | <b>Systems, Integration, Analysis and Test</b>   | Contact Center Records Mgr.  |
| <b>8078</b>  |             | <b>Human Factors</b>   | Contact Center Records Mgr.  |
| <b>8079</b>  |             | <b>Ground and Flight Operations</b>  | Contact Center Records Mgr.  |
| <b>8080</b>  |             | <b>Tests and Testing</b>   | Contact Center Records Mgr.  |
| <b>8090</b>  |             | <b>NASA Engineering Standards</b>  | Contact Center Records Mgr.  |
| <b>8100</b>  |             | <b>Advanced Studies</b>  | (see below)  |
| 8100         | <b>13</b>   | <b>ADVANCED MANNED AND UNMANNED MISSION STUDIES</b><br><br>Advanced studies of flight missions beyond those currently approved, or studies of as yet unapproved spacecraft, launch vehicles, spacecraft, and/or aircraft or aircraft systems that may lead toward such future flight missions or studies leading to significant changes on an already approved configuration of spacecraft and launch vehicle. | * PERMANENT *<br>RETIRE TO FRC ON COMPLETION OR ABANDONMENT OF STUDY. TRANSFER TO NARA 20 YEARS AFTER COMPLETION OR ABANDONMENT OF STUDY. <DA: N1-255-94-3> (N 24-16)  |

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**SCHEDULE 8**  
(AFS 8000-8999)

| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE<br/>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|--|--|
| 8100         | 14          | <p><b>SUMMARY PROGRESS REPORTS (R&amp;D)</b></p> <p>Reports submitted by laboratories or other project offices to show the initiation and degree of completion of projects and consolidated reports prepared therefrom.</p> <p>A. Copies of reports retained by reporting office.</p> <p>B. Feeder reports used for compilation of consolidated reports, except as indicated in C. below.</p> <p>C. Consolidated reports consisting of an official file copy of each consolidated report and any feeder reports containing technical or scientific data not fully documented in the consolidated report.</p>   | <p>DESTROY 1 YEAR AFTER COMPLETION, CANCELLATION, OR TERMINATION OF RELATED PROJECT.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY UPON SUBMISSION OF CONSOLIDATED REPORT.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>INCORPORATE THESE RECORDS INTO THE PROGRAM MANAGER'S FILES WHICH ARE CAPTURED UNDER SCHEDULE 7, ITEM 6.<br/>&lt;DA: N1-255-94-3&gt;</p> |
| 8100         | 15          | <p><b>PIONEER SPACECRAFT RECORDS</b></p> <p>A. <u>PAPER RECORDS</u></p> <ol style="list-style-type: none"> <li>1. Pioneer 6 through 9               <ol style="list-style-type: none"> <li>(a) Records consisting of Operations &amp; Maintenance Manuals (1964-67), miscellaneous files pertinent to Pioneer missions 6-9 (1964-73); Deep-Space -Net-Pass folders, teletype punch tapes, and PN 6/7 TRW test reports (1964-93), and, Off-line analysis reports and validations</li> <li>(b) Records consisting of Deep-Space-Net-Pass folders 1993 and continuing.</li> </ol> </li> <li>2. Pioneer 10               <ol style="list-style-type: none"> <li>(a) Records consist of Progress reports, evaluations, and reviews (1970-74); data packages and test</li> </ol> </li> </ol> | <p>SEE PAGE NOTE BELOW</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION APPROVAL</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION APPROVAL</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION APPROVAL</p>   |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|--|---|
|              |             | procedures (1971-72); and, Off-line analysis reports and validations (1971-77).  | HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL |
|              |             | (b) Records consisting of command instructions, telemetry instructions, deep-space-net pass folders, bit-error-rate plots, experimenter-data-record validations, altitude data, precession logs, and old procedures (1972-1993).   | HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL |
|              | 3.          | Pioneer 11   |   |
|              |             | (a) Records consisting of progress reports, evaluations, and reviews (1970-74); and, Off-line analysis reports and validations (1971-77).  | HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL |
|              |             | (b) Records consisting of command instructions, telemetry instructions, deep-space-net pass folders, bit-error-rate plots, experimenter-data-record validations, altitude data, precession logs, data packages, test procedures, and progress reports (1973-1993).                     | HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL |
|              | 4.          | Pioneer 12   | HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL |
|              |             | (a) Records consisting of cruise computational off-line validations (1978).  |   |
|              |             | (b) Records consisting of command instructions, telemetry instructions, orbit folders, orbit files, trajectory data, command files, altitude summary, command and spin logs, miscellaneous quick-look worksheets, intermediate-data-record summaries, and operations logs (1978-1992). | HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL |
|              | 5.          | Pioneer 13 (1978)  |   |
|              |             | Records consist of miscellaneous multiprobe records, operation logs, and cruise computational off-line validations.  |   |

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|--------------|-------------|---|--|
| 8100         | 15          | <p>B. <u>MAGNETIC TAPES</u></p> <p>1. Pioneer 10</p> <p>(a) Master data record (MDR) tapes containing real-time telemetry data (1972-1990).</p> <p>(b) MDR tapes - 1991 and continuing.<br/>(Collected annually)</p> <p>2. Pioneer 11</p> <p>(a) MDR tapes- 1972-1990.</p> <p>(b) MDR tapes - 1991 and continuing.<br/>(Collected annually)</p> <p>3. Pioneer 12<br/>NOTE: This is a CLOSED series. Pioneer 12 no longer exists.</p> <p>(a) Ephemeris tape records containing location of spacecraft during orbit (1978-1992).</p> <p>(b) 1978 - 1992 Records</p> <p>Records consist of, but are not limited to, the following types:</p> <ul style="list-style-type: none"> <li>• Supplementary-experimenter-data-record tapes containing trajectory and engineering data.</li> <li>• Epoch-time-data-record tapes containing 12-second time tags for 24-hour orbit.</li> <li>• Command-record tapes containing all commands given to spacecraft such as attitudes and instrument commands.</li> <li>• Intermediate-data-record tapes containing telemetry records received from JPL.</li> <li>• Log tapes containing telemetry records generated from high-speed data stream received from Ames.</li> </ul> | <p>DESTROY JANUARY 1, 2000. &lt;DA: N1-255-97-1&gt;</p> <p>DESTROY WHEN 7 YEARS OLD<br/>DA: N1-255-97-1&gt;</p> <p>DESTROY JANUARY 1, 2000.<br/>&lt;DA: N1-255-97-1&gt;</p> <p>DESTROY WHEN 7 YEARS OLD.<br/>DA: N1-255-97-1&gt;</p> <p>DESTROY JANUARY 1, 1998.<br/>&lt;DA: N1-255-97-1&gt;</p> <p>DESTROY ENTIRE BLOCK OF RECORDS (1978-92) JANUARY 1, 1998<br/>&lt;DA N1-255-97-1&gt;</p> |
| 8110         |             | General   | Contact Center Records Mgr.  |
| 8120         |             | Conduct of Studies  | (see below)  |

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|--------------|-------------|---|---|
| 8120         | 16          | <b>PROJECT CONTROL FILES</b><br><br>Memoranda, reports, control files such as summary cards showing assignments, progress, and completion of projects.  | DESTROY 1 YEAR AFTER THE YEAR IN WHICH THE PROJECT IS CLOSED.<br>[GRS 16-5] (N 1-24)  |
| 8130         |             | <b>Study Reports</b>  | Contact Center Records Mgr.   |
| 8132         |             | <b>In-House Reports</b>   | Contact Center Records Mgr.   |
| 8134         |             | <b>Contractor Study Reports</b>   | Contact Center Records Mgr.   |
| 8200         |             | <b>Supporting Research and Technology (SRT)</b>   | (see below)   |
| 8200         | 17          | <b>R&amp;D EXPERIMENTAL PROJECTS DATA FILES</b><br><br>Documents maintained and used by scientific and engineering personnel for research, development, and test of an item, or within a field of scientific inquiry, reflecting concept, design criteria, studies, calculations, and test performance of assemblies, or devices developed. Included are engineering or scientific notes, drafts of technical reports and articles; telemetry, oscillographic and pen recordings; time and motion films and recordings; still photographs; computer media; sound recordings, and similar rough or raw data which are a part of the project files.<br><br>A. Data essential to support laboratory notebook information, discoveries, and invention disclosures, including data relating to patent matters and data relating to historical, significant, or unique accomplishments.<br><br>1. Significant project data files deemed by the originating project office to have value because of the highly significant nature or uniqueness of the activity.<br><br>2. Non-significant project data files. | * PERMANENT *<br>RETIRE TO FRC 2 YEARS AFTER COMPLETION OF THE PROJECT. TRANSFER TO NARA WHEN 25 YEARS OLD.<br><DA N1-255-94-3> (N 24-4)<br><br>RETIRE TO FRC 2 YEARS AFTER COMPLETION OF THE PROJECT. DESTROY WHEN 20 YEARS OLD.<br><DA N1-255-94-3> |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|---|--|
|              |             | <hr/> B. Data on electronic/computer media.<br><br><hr/> C. Data that has been fully incorporated into reports.<br><br>D. Other data files.   | <hr/> SEE PAGE NOTE BELOW<br><br>HANDLE AS PERMANENT PENDING RETENTION APPROVAL<br><br><hr/> DESTROY WHEN REPORT IS RELEASED OR WHEN 5 YEARS OLD, WHICHEVER IS LATER. <DA. N1-255-94-3><br><br>RETIRE TO FRC WHEN NO LONGER NEEDED FOR THE PROJECT OR RESEARCH USE. DESTROY WHEN 6 YEARS OLD. <DA: N1-255-94-3>  |
| 8200         | 18          | <b>ATMOSPHERIC SCIENCE DATA (KSC ONLY)</b><br><br>A. <u>LIGHTNING DATA</u><br>KSC related and electrical field and meteorological data to include electronic/computer media, technical memos, scientific journal reports, strip charts, launch pad lightning flash reports, video recordings of lightning strikes, and other associated media.<br><br>B. <u>LDAR RECORDS (Lightning Detection and Ranging)</u><br>Lightning location data to include electronic/computer media and technical reports. | RETAIN ON-SITE FOR 10 YEARS OR UNTIL REFERENCE VALUE CEASES. UPON PROGRAM COMPLETION, CANCELLATION, OR TERMINATION, DONATE RECORDS TO THE FOLLOWING UNIVERSITIES, IF UNIVERSITIES DO NOT WANT, DESTROY RECORDS IMMEDIATELY.<br>* Order of Donation as follows:<br>A-1,<br>A-2; and A-3.<br><DA: N1-255~4-3><br><br>RETAIN ON-SITE FOR 5 YEARS OR UNTIL REFERENCE VALUE CEASES. UPON PROGRAM COMPLETION, CANCELLATION, OR TERMINATION, DONATE RECORDS TO THE FOLLOWING UNIVERSITIES, IF UNIVERSITIES DO NOT WANT, DESTROY RECORDS IMMEDIATELY.<br>* Order of Donation as follows:<br>B-1; |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|--|--|
|              |             | <div> <div>A-1 / B-2</div> <div>University of Arizona</div> <div>Attn: Dr. Phil Krider</div> <div>Institute of Atmospheric</div> <div>Physics</div> <div>PAS Bldg. 81, Rm. 542</div> <div>Tucson, AZ 85721</div> </div> <div> <div>A-2 / B-1</div> <div>University of Florida</div> <div>Attn: Dr. Martin A. Uman</div> <div>College of Engineering</div> <div>Department of Electrical</div> <div>Engineering</div> <div>Gainesville, FL</div> </div>   | <div>B-2; and B-3.</div> <div>&lt;DA: N1-255-94-3&gt;</div> <div>A-3 / B-3</div> <div>New Mexico Institute of</div> <div>Mining &amp; Technology</div> <div>Attn: Prof. Paul Krehbiel</div> <div>Physics Department</div> <div>Socorro, NM 87801</div>   |
|              |             |  |  |
|              |             |  |  |
|              |             |  |  |
| 8200         | 19          | <b>PLANETARY GEOSCIENCE PROGRAM RECORDS</b><br><br>Records in this series consist of planetary geology and geophysics program and planetary materials and geochemistry records. These files (one for each Principal Investigator (PI) in the program) can, but do not necessarily, include copies of the proposal, copies of correspondence between the PI and the program office(s), and additional relevant materials submitted by the PI or produced with the program office. These are the PI's or Program Manager's files for each specified grant for the Planetary Geoscience Program. There is little reference activity after 3 years. They are not fully duplicated elsewhere. NASA's copies of this documentation is considered research and development (R&D) program management files and are covered by Schedule 7-6.<br><br>A. Principal Investigator s (PI) files/records.<br><br>B. All other offices/copies. | <div>RETIRE TO FRC 2 YEARS AFTER</div> <div>CREATION. DESTROY WHEN 6</div> <div>YEARS.</div> <div>&lt;DA: N1-255-89-3&gt;</div> <div>DESTROY WHEN NO LONGER</div> <div>NEEDED FOR REFERENCE OR</div> <div>WHEN 3 YEARS OLD, WHICHEVER</div> <div>IS SOONER.</div> <div>&lt;DA: N1-255-94-3&gt;</div> |
|              |             |  |  |
| 8200         | 20          | <b>TECHNICAL ENGINEERING PUBLICATIONS FILES</b>  |  |

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## PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|--|--|
|              |             | <p>These files contain materials utilized in the fabrication, printing, production, with changes, modifications, or addenda thereto of engineering and operational manual. These engineering and operational manuals are used in support of on-going network equipment/systems for technical design and configuration, inspection, maintenance, certifications, flight operational readiness, operational and postflight evaluation.</p> <p>A. One record copy of each publication.<br/>(Copy should be marked, "Official Record Copy.")</p> <p>B. Camera-ready copy, including board mounted artwork, drawings, negatives, and repro assembly sheets.</p>   | <p>RETIRE TO FRC 1 YEAR AFTER EQUIPMENT/SYSTEM BECOMES INACTIVE. DESTROY 20 YEARS AFTER SUPERSEDED.<br/>&lt;DA: N1-255-94-3&gt; (N 24-19)</p> <p>STORE IN INSTALLATION STAGING AREA. AFTER 2 YEARS DESTROY OBSOLETE RECORDS. RETIRE REMAINING FILES TO FRC WHEN 5 YEARS OLD AND DESTROY WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> |
| 8200         | 21          | <p><b>LABORATORY NOTEBOOKS (R&amp;D)</b></p> <p>Notebooks containing technical and scientific data accumulating from the conduct of research and development. Notebooks used to record and preserve research, development, and testing data reflecting the conditions of tests of plan or approach to problems, observations, modifications formulas, unusual or significant phenomena, findings and results, and other related data. Included are narrative data, rough sketches, curves, and schematic diagrams.</p> <p>A. Bound serially numbered official laboratory notebooks and looseleaf notebooks that document and support significant, historical, or unique accomplishments or relate to patent findings. These records are needed to achieve continuity of effort, and provide hand-written signed and dated legal proof of Government-sponsored inventions.</p> <p>B. Notebooks containing data determined by competent scientific or technical personnel either to be duplicated in</p> | <p>* PERMANENT *</p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. TRANSFER TO NARA WHEN 25 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt; (N 25-3)</p> <p>DESTROY 6 MONTHS AFTER COMPLETION, CANCELLATION, OR TERMINATION OF THE</p>   |

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**SCHEDULE 8**  
(AFS 8000-8999)

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8-20



# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|-------|------|--|--|
| 8410  |      | the Jet Propulsion Laboratory (JPL); the Space Flight Tracking and Data Network (STDN), managed by Goddard Space Flight Center (GSFC); Balloon and Sounding Rocket Tracking and Data Acquisition Facilities, managed by GSFC; and the Aeronautics Tracking and Data Acquisition Facilities, managed by Ames Research Center (ARC).   |  |
|       | A.   | <u>TRACKING STATION RECORDS (DSN/STDN)</u><br>Records in this series consist of data received from three complexes located in Canberra, Australia; Madrid, Spain; and Goldstone, California. These facilities primarily communicate with interplanetary spacecraft and spacecraft in high Earth orbit that are beyond the view constraints of the Tracking and Data Relay Satellite System (TDRSS). Records in this series also consist of data/information received from the ground stations at Merritt Island, Florida; Bermuda; and Dakar, Senegal which provide pre-flight, launch, and early orbit communications for Shuttle and expendable launch vehicles (ELV). | HANDLE AS PERMANENT PENDING RETENTION APPROVAL |
|       | 1.   | Station Records.<br>Records include, but are not limited to, station photos, phasedown/closure, budget, general correspondence, and contract data for the following stations: Australia; Bermuda; Chile; etc.  | HANDLE AS PERMANENT PENDING RETENTION APPROVAL |
| 8440  | 2.   | Program Planning Records.<br>Records in this series consists of 10-year implementation plans; forecasts; implementation program guidelines; roles and responsibilities; utilization records; and, other associated or related documentation.   | HANDLE AS PERMANENT PENDING RETENTION APPROVAL |
|       | B.   | <u>BALLOON AND SOUNDING ROCKET RECORDS</u><br><br>The records consist of data/information collected by the NASA facilities located at Palestine, Texas, and Poker Flat, Alaska (Atmospheric balloon programs). The facilities at Poker Flat, Wallops, and the White Sands Missile Range in New Mexico provide tracking and data acquisition for sounding rocket activities. Also included in this records series are the aeronautics program records consisting of data/information collected by the Flight facilities at Wallops Island and the Western Aeronautical Test Range.  | HANDLE AS PERMANENT PENDING RETENTION APPROVAL |
| 8430  |      |  | HANDLE AS PERMANENT PENDING                    |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|-------|------|--|--|
| 8450  |      | C. <u>MISSION RECORDS</u><br><br>Records in this series consist of materials and documentation on foreign and domestic spacecraft/ satellites, such as: Japan; Ariane; and GOES (Geostationary Operational Environmental Satellite), and related documentation.  | RETENTION APPROVAL                                 |
|       |      | D. <u>SYSTEMS RECORDS</u> - STDN (Space Flight Tracking & Data Network)<br><br>Records in this series consists of, but are not limited to, equipment records used in support of the program, Beam Wave Guide (BWG), Global Positioning System (GPS), SEI (Solar System Exploration Initiative), and Level Zero processing.   | HANDLE AS PERMANENT PENDING RETENTION APPROVAL     |
| 8420  |      | Network Spaceflight Tracking and Data Network (STDN)   | Contact Center Records Mgr.                        |
| 8430  |      | Mission Records  | Contact Center Records Mgr.                        |
| 8440  |      | Balloons and Sounding Rockets  | Contact Center Records Mgr.                        |
| 8450  |      | System Records   | Contact Center Records Mgr.                        |
| 8500  |      | Environmental Management (General)   | Contact Center Records Mgr.                        |
| 8510  |      | External Activities  | Contact Center Records Mgr.                        |
| 8520  |      | Budget   | Contact Center Records Mgr.                        |
| 8530  |      | Environmental Media  | Contact Center Records Mgr.                        |
| 8540  |      | Pollution Prevention   | Contact Center Records Mgr.                        |
| 8550  |      | Compliance   | Contact Center Records Mgr.                        |
| 8560  |      | Restoration / Remediation  | Contact Center Records Mgr.                        |
| 8570  |      | Conservation   | Contact Center Records Mgr.                        |
| 8580  |      | National Environmental Policy Act (NEPA)   | Contact Center Records Mgr.                        |
| 8590  |      | Management and Information Systems   | Contact Center Records Mgr.                        |
| 8600  |      | Operations   | (see below)  |
| 8600  | 24   | <b>OPERATING BRIEFING FILES (R&amp;D)</b><br><br>Documents accumulated from periodic presentations to directors of operating programs for forecasts, trends, and results of the execution of operating programs. Included are presentation materials, memoranda of actions directed, records of questions and answers, and other documents relating to the briefing.<br><br>A. <u>ORIGINAL DOCUMENTATION</u> | RETIRE TO FRC WITHIN 2 YEARS AFTER PRESENTATION TO |

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**PROGRAM MANAGEMENT RECORDS****SCHEDULE 8**  
(AFS 8000-8999)

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|--------------|-------------|--|---|
|              |             | B. <u>OTHER OFFICES/COPIES</u>   | MANAGEMENT OR COMPLETION OF THE PROGRAM. DESTROY WHEN 15 YEARS OLD.<br><DA: NI-255-94-3> (N 24-7)<br><br>DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br><DA: NI-255-94-3> |
| 8600         | 25          | <b>MISSION OPERATIONS</b><br><br>A. <u>VIDEO RECORDINGS</u><br><br>JOHNSON SPACE CENTER -- ITEMS 1-4 (JSC ONLY)<br><br>1. Space Flight Imagery |   |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|--|---|
| 8600         | 25          | <p><b>CONTINUED: MISSION OPERATIONS</b></p> <p>Video tape recordings are classified as original field-sequential (FS) recordings, original NTSC records, original film transfer records, and dub master recordings. These records are limited to: Launch/Landings; Downlinks; and On-Board Recordings, the master tapes with all identifying information will be transferred to NARA.</p> <p>(a) Launch and Landing Videos.<br/>(This series includes logbooks or initial scene list which includes a description, name(s) of people in video, equipment, and a brief synopsis of what is going on.) Transfer includes the original recording including the conversion to color.</p> <p>(b) Downlinks</p> <p>(c) On-Board Recordings.</p> <p>(d) Pre-Mission and Post-Mission Videos.</p> <p>(e) Converted FS, NTSC, film transfers and working duplicates of (made within 2 years of the master) the above items (a) — (d).</p> | <p>* PERMANENT *<br/>TRANSFER TO NARA WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt; (N 26-10)</p> <p>* PERMANENT *<br/>TRANSFER TO NARA WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>* PERMANENT *<br/>TRANSFER TO NARA WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>THESE VIDEOS MAY BE RETAINED AT JSC INDEFINITELY OR MAY BE RETIRED TO FRC WHEN 5 YEARS OLD. THOSE RETIRED TO FRC MAY BE DESTROYED WHEN 30 YEARS OLD. THOSE RETAINED ON-SITE MAY BE DESTROYED WHEN NO LONGER NEEDED OR WHEN 50 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>VIDEOS MAY BE RETAINED AT JSC INDEFINITELY. THEY MAY BE RELEASED FOR REUSE OR DISPOSAL WHEN NO LONGER NEEDED OR WHEN 50 YEARS OLD,</p> |

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|--------------|-------------|--|--|
|              |             | <p>2. Test and Training Activities</p> <p>(a) Videos in this series can include, but are not limited to, shuttle support, crew training, Wet-F (facility) training, etc.</p> <p>(b) Spacecraft and launch vehicle testing.</p> <p>3. Productions (scripted)</p> <p>Records in this series are informational in nature or are documentary in nature, or are general information on routine training elements.</p> <p>(a) Productions that document NASA activities and history.</p> <p>(b) Routine training videos.</p> <p>4. Documentaries (taped or live), press conferences, or special events.</p> <p>KENNEDY SPACE CENTER - ITEMS 5-8 (KSC ONLY)</p> | <p>WHICHEVER IS LATER.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RELEASE AND REUSE<br/>VIDEOTAPES 30 DAYS AFTER<br/>SPECIFIC ACTIVITY OR FILMING.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>ORIGINAL VIDEO OF CRITICAL<br/>TESTING SHALL BE RETAINED<br/>FOR 3 YEARS AT JSC IN THE<br/>CENTER STORAGE FACILITY.<br/>WHEN VIDEOS ARE 3 YEARS OLD,<br/>TAPE WILL BE RELEASED FOR<br/>REUSE/RECYCLE.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>* PERMANENT *<br/>TRANSFER TO NARA WHEN 10<br/>YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN NO LONGER<br/>NEEDED OR 1 YEAR AFTER<br/>COMPLETION.<br/>[GRS 21-17 (95)]</p> <p>* PERMANENT*<br/>TRANSFER TO NARA WHEN 10<br/>YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>* PERMANENT*<br/>RETAIN ON-SITE FOR 5 YEARS.</p> |

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|--------------|-------------|---|--|
|              |             | <p>5. Space Shuttle Program (SSP) [formerly the Space Transportation System (STS)] documentary motion picture, video, or film.</p> <p>6. STS Research and Development audiovisual products. Records include STS R&amp;D coverage, training, and construction progress films.<br/>NOTE: Still photos are covered elsewhere under this item.</p> <p>7. Flight Element Engineering Closeout motion picture/video.<br/>NOTE: Still photos are covered elsewhere under this item.</p> <p>8. 16 mm, 35 mm, and 70 mm Film/Print Footage STS Engineering. Film footage consists of day-to-day activities or events which may include any of the following in short clip film format, finished/raw footage, or short films:</p> <p>Arrivals of various dignitaries; KSC conference proceedings, astronaut arrivals; some launch coverage; equipment rollouts (e.g., SRB, shuttle external tank); arrival of "new" shuttles or external tanks; ground breaking ceremonies for new facilities; and other miscellaneous daily activities.</p> <p>(a) Original Film.</p> <p>(b) Copies of Film.</p> | <p>TRANSFER, ALONG WITH ANY INDEXES/ FINDING AIDS TO NARA WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-90-1&gt;</p> <p>* PERMANENT *</p> <p>TRANSFER VIDEOTAPE AND MOTION PICTURE FILM (INCLUDING A PRODUCTION COPY OF FILM IF AVAILABLE) ALONG WITH ANY SUPPORTING INDEXES/ FINDING AIDS TO NARA WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RETAIN FILM/VIDEO FOR 5 YEARS ON-SITE, THEN RETIRE TO FRC FOR 15. DESTROY WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-90-1&gt;</p> <p>* PERMANENT *</p> <p>RETAIN ON-SITE FOR 5 YEARS ALONG WITH ANY INDEXES/ FINDING AIDS. TRANSFER TO NARA WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-90-1&gt;</p> <p>DONATE COPIES OF THE ORIGINAL FILM AS CITED IN (a) ABOVE TO THE CUSTODY OF</p> |

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# PROGRAM MANAGEMENT RECORDS

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|-------|------|---|--|
| 8600  | 25   | <p>B. <u>STS VIDEO TAPES OF MINOR ACCIDENTS, MISHAPS, OR MALFUNCTIONS</u><br/>(Major accident files are captured in Schedule 1, Item 119.)</p> <p>Original videotapes for STS 51L (Challenger) are captured under Item 30 of this Schedule.</p> <p>C. <u>STILL PHOTOS</u> (KSC ONLY)</p> <ol style="list-style-type: none"> <li>Space Transportation System (STS) documentary stills.<br/>NOTE: Contact Installation Records Manager for Shipping Instructions.</li> <li>STS Research and Development still pictures of STS R&amp;D coverage, training, and construction progress.<br/>NOTE: Contact Installation Records Manager for Shipping Instructions.</li> </ol> | <p>EITHER INSTITUTION:</p> <p>Kansas Cosmosphere and Space Center, Attn: Mr. Rick Donovan, 1100 N. Plum Street, Hutchinson, KS 67501</p> <p>OR</p> <p>Brevard Community College, Attn: Mr. Robert A. Aitken, Provost, Cocoa Campus, 1519 Clearlake Road, Cocoa, FL 32922<br/>&lt;DA: N1-255-90-1&gt;</p> <p>RETIRE TO FRC 2 YEARS AFTER COMPLETION OF INVESTIGATION OR ACCIDENT, WHICHEVER IS LATER. DESTROY WHEN 25 YEARS OLD. [Supersedes N1-255-90 Chg]<br/>&lt;DA: N1-255-94-3&gt;</p> <p>* PERMANENT *<br/>RETAIN NEGATIVES ON-SITE FOR 5 YEARS. TRANSFER ORIGINAL NEGATIVE AND (1) CAPTIONED PRINT (WHERE AVAILABLE) TO NARA WHEN 5 YEARS OLD. INDEXES/FINDING AIDS SHOULD BE TRANSFERRED WITH THE RECORDS.<br/>&lt;DA: N1-255-90-1&gt;</p> <p>* PERMANENT *<br/>TRANSFER NEGATIVES, (1) CAPTIONED PRINT OF EACH (WHERE AVAILABLE) AND ANY SUPPORTING INDEXES/ FINDING AIDS TO NARA STILL PICTURES BRANCH (NNSP), WHEN 15 YEARS OLD.</p> |

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|--|---|
|              | 25          | <p>3. Flight Element Engineering Closeout photos.</p> <p>(a) Still Negatives.</p> <p>(b) Electronic Images.</p> <p>D. <u>TECHNICAL ENGINEERING OPERATIONS AND SUPPORT FOR THE SSP</u> (KSC ONLY)</p> <p>These KSC documents are utilized in the testing and verification of the SSP hardware. They include records pertaining to testing, inspection, maintenance, scheduling, checkout, and verification of flight operational readiness for on-board systems and ground support systems:</p> <p>1. Processing Documentation<br/>Records relating to Problem Reporting and Corrective Action (PRACE, i.e., STS element problem reports (PRs), Interim Problem Reports (IPRs), Tile Problem Reports and interim reports, Tile Discrepancy Reports and Correction Action and Assistance Requests (CAARs), Work Authorization Documents such as Operations and</p> | <p>&lt;DA: N1-255-94-3&gt;</p> <p>RETAIN STILL NEGATIVES FOR 5 YEARS ON-SITE, THEN RETIRE TO FRC FOR 10 YEARS. DESTROY WHEN 15 YEARS OLD<br/>&lt;DA: N1-255-94-3&gt;</p> <p>IMAGES WILL BE TRANSFERRED FROM THE ELECTRONIC REUSABLE MEDIA TO WRITE ONCE-READ MANY (WORM) MEDIA. ELECTRONIC REUSABLE MEDIA WILL BE RELEASED FOR REUSE UPON VERIFICATION OF IMAGE TRANSFER TO THE WORM MEDIA. WORM STORAGE MEDIA WILL BE RETAINED ON-SITE FOR 5 YEARS AND THEN RETIRED TO FRC FOR 10 YEARS. WORM STORAGE MEDIA WILL BE DESTROYED WHEN 15 YEARS OLD.<br/>[Supersedes <del>N1-255-90-1/40</del> Chg<br/>&lt;DA: N1-255-94-3&gt;</p> |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|---|---|
|              |             | <p>Maintenance Instructions (OMIs), Repetitive Task OMIs, Job Cards, Type B Test Preparation Sheets (TPS), Preventative Maintenance Instructions, Certification and Calibration Procedures, Instruction Change Requests, Work Orders and other working procedures. Also included are the operational processing schedules, trouble tickets, work control documents, test support operations, processing support plan, Operations and Maintenance Plan, Data Management, schedule and status summary and any engineering or operational logs. Technical configuration management requirements and change control documents should be included as well as Operations, Maintenance Requirements and Specifications (OMRS), any Requirements Change Notices or Waivers/ Exceptions to these requirements. Any supporting or related documents to the above.</p> <p>NOTE: Records pertaining to Safety and Reliability Reports, including Hazard Reports &amp; Risk Assessments with regard to Shuttle Processing are maintained under AFS 1700. See Schedule 1 for records created in this series or Schedule 8 for Payload Safety.</p> <p>(a) Specified records pertaining to the Orbiter, Space Shuttle Main Engines and Orbital Maneuvering System pods.</p> <p>i. Paper records.</p> <p>ii. Microfilm records.</p> <p>(b) Records pertaining to the External Tank and Solid Rocket Boosters.</p> <p>i. Paper Records.</p> <p>ii. Electronic/Computer media collected during the</p> | <p>RETIRE TO FRC 5 YEARS AFTER LAUNCH OF VEHICLE AND AFTER MICROFILMING. DESTROY WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-90-1&gt;</p> <p>RETAIN AT KSC. DESTROY WHEN INFORMATION IS 20 YEARS OLD.<br/>&lt;DA: N1-255-90-1&gt;</p> <p>SEE DISPOSITION FOR ITEM D.1.(a) ABOVE.<br/>&lt;DA: N1-255-90-1&gt;</p> <p>RETIRE TO FRC AFTER LAUNCH OF VEHICLE. DESTROY WHEN 20 YEARS OLD.<br/>[DA: N1-255-94-3]</p> |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|--|--|
|              |             | <p>buildup and processing phase. Data includes ultrasonics (case to insulation bondline inspection, inspectoscope (video inspection of joint metal parts), sine-bar (tang &amp; clevis shaping data), temposonics (joint mating engagement data), leak check (joint seal integrity check) and the software package revisions for each of the stored data listed.</p> <p>(c) Records pertaining to the Ground Support Equipment.</p> <p>(d) Records pertaining to the Launch Processing System, facility support, complex control system, instrumentation and calibration and operational communication system.</p> <p>i. Paper records.</p> <p>ii. Microfilm</p> <p>(e) Records pertaining to the Information Management Systems; Shuttle Processing and Data Management System (SPDMS); Process Engineering and Control System (PECS); Lockheed System Data Network (LSDN), and also including vendor-supplied documentation hardware and software standards, problem tickets, software release notices, review item disposition, functional requirements document, user guide(s), verification procedures, and associated documents.</p> <p>(f) Official record copy of Operations and Maintenance Instructions not included in d.(1)(a). Records in this series include Launch Countdown; PAD aborts (S007); Flight readiness firings; Cryogenic Tanking Tests (S0037); Impound/accidents; and Special Tests.</p> | <p>SEE DISPOSITION FOR ITEM D.1(a) ABOVE.<br/>&lt;DA: NI-255-90-1&gt;</p> <p>RETIRE TO FRC WHEN 2 YEARS OLD AND AFTER MICROFILMING. DESTROY WHEN 17 YEARS OLD.<br/>&lt;DA: NI-255-90-1&gt;</p> <p>RETAIN AT KSC. DESTROY WHEN 20 YEARS OLD.<br/>&lt;DA: NI-255-90-1&gt;</p> <p>RETAIN THESE RECORDS FOR 2 YEARS OR UNTIL NEXT REVISION CYCLE, THEN DESTROY.<br/>&lt;DA: NI-255-90-1&gt;</p> <p>RETIRE TO FRC WHEN 5 YEARS OLD AND AFTER MICROFILMING. DESTROY WHEN 20 YEARS OLD.</p> |

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## PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|---|--|
|              | <b>25</b>   | <p>(Documents in this item are considered the OMI - 5 Volume Set.)</p> <p>i. Paper records.</p> <p>ii. Silver Microfilm.</p> <p>iii. Diazo copy of microfilm.</p> <p>(g) Photo contact sheets identifying still photos related to Items (a)-(d).</p> <p><b>2. Design and Configuration Management (KSC ONLY)</b></p> <p>Records relating to the design and configuration management support including Type A Test Preparation Sheets (TPS), Engineering Support Requests, Change Control Board Directives, Change Requests, engineering assessment and instructions, modification instruction packages, field engineering changes, configuration change assessments, control board meeting minutes and dispositions, and other similar documentation.</p> <p>(a) Complex control system facility support and ground support equipment.</p> <p>i. Paper records.</p> | <p>&lt;DA: N1-255-90-1&gt;</p> <p>* PERMANENT *<br/>TRANSFER TO NARA IN 5-YEAR BLOCKS.<br/>&lt;DA: N1-255-90-1&gt;</p> <p>RETAIN AT KSC. DESTROY WHEN NO LONGER NEEDED OR WHEN 35 YEARS OLD, WHICHEVER IS LATER.<br/>&lt;DA: N1-255-09-1&gt;</p> <p>RETAIN RECORDS FOR 2 YEARS AND THEN DESTROY BOTH THE PHOTOS AND ASSOCIATED CONTACT SHEETS. (NOTE: NEGATIVES OF PHOTO CONTACT SHEETS ARE INCLUDED UNDER C.3. OF THIS ITEM.)<br/>&lt;DA: N1-255-90-1&gt;</p> <p>RETIRE TO FRC WHEN 5 YEARS OLD AND AFTER MICROFILMING. DESTROY WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-90-1&gt;</p> <p>RETAIN AT KSC. DESTROY WHEN 20 YEARS OLD.<br/>&lt;DA: N1-255-90-1&gt;</p> |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|--|--|
|              | 25          | <p>ii. Microfilm.</p> <p>(b) Launch Processing System and Information Management Systems (SPDMS, PECS, LSDN).</p> <p>i. Paper records.</p> <p>ii. Microfilm.</p> <p>(c) Design drawings for ground support equipment.</p> <p><b>CONTINUED: MISSION OPERATIONS</b></p> <p>3. Magnetic Data Tapes - STS ONLY (KSC ONLY)<br/>These are tapes that are related to or are the Launch Processing System (LPS) pertaining to Space Transpiration System processing, digital and analog magnetic tape data.</p> <p>(a) Tape data related to daily KSC test operations including instrumentation and calibration, and firing room test operations, and on-orbit recorded flight data.</p> | <p>MICROFILM RECORDS. DESTROY PAPER RECORDS WHEN 5 YEARS OLD AND <u>AFTER</u> MICROFILM VERIFICATION.<br/>&lt;DA: NI-255-90-1&gt;</p> <p>RETAIN MICROFILM AT KSC UNTIL SYSTEM IS REPLACED BY NEXT GENERATION DESIGN OR DESTROY WHEN 25 YEARS OLD, WHICHEVER IS EARLIER.<br/>&lt;DA: NI-255-90-1&gt;</p> <p>RETAIN DOCUMENTS FOR THE LIFE OF THE SYSTEM, PLUS 1 YEAR, THEN DESTROY.<br/>&lt;DA: NI-255-90-1&gt;</p> <p>RETAIN DATA FOR THE PREVIOUS FLOW OF RESPECTIVE VEHICLE ONLY, THEN ALLOW ENGINEERING REVIEW TO DETERMINE RETENTION OF SPECIFIC TESTING DATA AND RELEASE TAPES FOR REUSE. FOR EXTENDED PROCESSING FLOW GREATER THAN 1 YEAR, PERFORM ENGINEERING REVIEW OF DATA, AND RELEASE TAPE FOR REUSE.<br/>&lt;DA: NI-255-90-1&gt;</p> |

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# PROGRAM MANAGEMENT RECORDS

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|--------------|-------------|---|---|
|              | 25          | <p>(b) Tape data relating to launch countdown, flight readiness firing, tanking tests, pad aborts, flight control test, data, impound data, on-board flight recorder dumps, and master LPS operating system tapes, such as control check-out and monitor subsystem (CCMS), test configuration identification (TCID) save tapes, central data system (CDS), test configuration identification build tapes (TCID), control checkout and monitor subsystem/complex control system (CCMS/CCS) operating system tapes, and RPS data base save tapes utilized to support specified testing starting at T-8 to T+1 hour or end of drain back.</p> <p>(c) Tape data relating to landing and specific engineering save data. Also Virtual Address Extension (VAX) data tapes.</p> <p>(d) Tape data relating to complex control system.</p> <p>(e) LPS operational data tapes which include save tapes, verified software, TCID save tapes, System Build Application Program Library Maintenance (APLM) transmit tapes, Vandenberg Air Force Base (VAFB) closeout magnetic tapes and related data.</p> <p>(f) Data tape products and file space related to Flight Software Support including Mass Memory Patches, Shuttle Data Tape, Mass Memory Loads, Ground Support Equipment Kennedy Avionics</p> | <p>RETAIN DATA AT KSC FOR THE LIFE OF THE PROGRAM OR WHEN THE OFFICE OF SPACE FLIGHT DETERMINES THE SHUTTLE FLIGHT PROGRAM HAS BEEN TERMINATED, SUPERSEDED, OR CONSIDERED OBSOLETE.<br/>&lt;DA: NI-255-90-1&gt;</p> <p>RETAIN DATA FOR 5 FLOWS OF RESPECTIVE VEHICLE, THEN RELEASE TAPES FOR REUSE.<br/>&lt;DA: NI-255-90-1&gt;</p> <p>RETAIN DATA FOR 6 MONTHS, THEN RELEASE FOR REUSE.<br/>&lt;DA: NI-255-90-1&gt;</p> <p>RETAIN TAPES FOR 2 YEARS THEN RELEASE FOR REUSE.<br/>&lt;DA: NI-255-90-1&gt;</p> <p>RETAIN DATA FOR 1 FLOW OF RESPECTIVE VEHICLE OR NEXT REVISION LEVEL, WHICHEVER IS FIRST, THEN RELEASE TAPES AND/OR FILE SPACE.<br/>&lt;DA: NI-255-90-1&gt;</p> <p>RETAIN TAPES FOR A MINIMUM OF 2 WEEKS OR RELEASE FOR REUSE ACCORDING TO LOCAL</p> |

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# PROGRAM MANAGEMENT RECORDS

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|--------------|-------------|---|--|
|              | 25          | <p>Test Set (GSE KATS) load, Shuttle Data Files, Primary Avionics System Software/Backup Flight System (PASS/BFS) Memory Certification, Inertial Measurement Unit (IMU) Calibration, and, associated data.</p> <p>(g) Data tapes related to LPS software development involving troubleshooting and debug. Also tapes associated with Information Management Systems; SPDMS, PECS, and LSDN.</p> <p>(h) Instrumentation and Calibration Data.</p> <p>(1) Related to booster stacking operations.</p> <p>(2) Determined to be of significant value by KSC engineering.</p> <p>(3) Data pertaining to adverse weather conditions.</p> <p>(i) Hypergolic maintenance facility processing data related to Orbital Maneuvering System Pod checkout.</p> <p>4. Propellant Consumable Management (KSC ONLY)</p> <p>These are records pertaining to propellant analysis reports and fluid sample analysis relevant to the STS program.</p> <p>5. Firing Room Testing Data (KSC ONLY)</p> | <p>PRACTICE, WHICHEVER IS LONGER.<br/>&lt;DA: N1-255-90-1&gt;</p> <p>RETAIN DATA FOR 1 FLOW OF VEHICLE, THEN RELEASE FOR REUSE.<br/>&lt;DA: N1-255-90-1&gt;</p> <p>RETAIN DATA FOR 5 FLOWS, THEN RELEASE FOR REUSE.<br/>&lt;DA: N1-255-90-1&gt;</p> <p>RETAIN DATA FOR 6 MONTHS, THEN RELEASE FOR REUSE.<br/>&lt;DA: N1-255-90-1&gt;</p> <p>RETAIN DATA FOR 1 YEAR, THEN RELEASE FOR REUSE.<br/>&lt;DA: N1-255-90-1&gt;</p> <p>RETAIN DOCUMENTATION FOR 5 YEARS ON-SITE, THEN RETIRE TO FRC FOR 5 YEARS. DESTROY WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-90-1 7&gt;</p> <p>RETAIN COMPUTER PRINTOUTS FOR 2 WEEKS, THEN DESTROY.<br/>&lt;DA: N1-255-90-1 8.a.&gt;</p> |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|---|--|
|              |             | <p>Firing room records and test data are records/documents which accumulate daily or during testing.</p> <p>(a) Launch processing system (LPS) records pertaining to shared peripheral data, line printer(s), hard copies, strip charts, printer plotter, and related data.</p> <p>(b) Launch processing system records created by Operations and Maintenance Instruction S9002 Integrated Data Requirements for engineering evaluation.</p> <p>6. Launch Processing System (LPS) Supporting Documentation (KSC ONLY)</p> <p>LPS documents pertaining to test configuration identification releases (TCID), software development problem reports, test preparation sheets, on-board computation facility data listing, master measurement lists, integrated system number release authorization, function designator directory listing, LPS release notices, goal expanded source listings, system build OMI data sheets, system build test configuration identification (TCID) generated listings, system build model listing, software verification procedures, reconfiguration network (RNET) documentation and associated records.</p> <p>7. Copies of Records, Microfilm, and Data Tapes</p> <p>Copies of records, documentation, microfilm, and data tapes contained in any of the above-cited records series maintained at any other installation(s) other than at Kennedy Space Center.</p> | <p>RETAIN DATA RECORDS FOR 1 YEAR AFTER DATE OF CREATION, THEN DESTROY.<br/>&lt;DA: NI-255-90-1 8.b.&gt;</p> <p>RETAIN RECORDS FOR 1 YEAR ALLOW FOR TECHNICAL/ENGINEERING REVIEW. AFTER REVIEW DESTROY RECORDS, OR DESTROY RECORDS WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: NI-255-90-1 9&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: NI-255-90-1 10&gt;</p> |
| 8600         | 26          | <p><b>FLIGHT READINESS FILES</b></p> <p>This record series consists of Flight Readiness Review Files (FRR) (condensed and complete versions) of all documentation on all flights; pre-flight, and approved documentation for each project office for a flight to go, including documentation that led up to</p>   |  |

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|--------------|-------------|---|--|
|              |             | <p>the decisions made. Also included may be project correspondence and related materials. FRR's are maintained and will be transferred via the four project offices that directly support the Shuttle Program Office. These offices are: (1) Space Shuttle Main Engine; (2) External Tank, (3) Solid Rocket Booster, and (4) the Redesigned Solid Rocket Motor. [NOTE: Offices (3) and (4) were the same up to STS-26 at which time they were separated into 2 different offices.]</p> <p>A. Flight Readiness Files -- MSFC Only.</p> <ol style="list-style-type: none"> <li>1. Flight readiness review files (FRR) for the National Space Transportation System (STS) 1 to STS-25 (including documentation on Challenger).</li> <li>2. Flight readiness review files for STS-26 and continuing flights.</li> <li>3. All other installations and copies.</li> </ol> | <p>* PERMANENT *<br/>RETIRE IMMEDIATELY TO FRC.<br/>TRANSFER TO NARA,<br/>JANUARY 1, 2002.<br/>&lt;DA: N1-255-92-3 1.A.&gt;</p> <p>* PERMANENT *<br/>RETAIN FRR's ON-SITE AT MSFC<br/>FOR 5 YEARS AFTER SUBJECT<br/>FLIGHT. RETIRE TO FRC FOR 10<br/>YEARS. TRANSFER TO NARA 15<br/>YEARS AFTER SUBJECT FLIGHT<br/>(INCLUDING TERMINATION OR<br/>CANCELLATION).<br/>&lt;DA: N1-255-92-3 1.B.&gt;</p> <p>DESTROY WHEN NO LONGER<br/>NEEDED OR WHEN 2 YEARS OLD,<br/>WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-92-3 1.C.&gt;</p> |
|              |             | <p>B. Certification of Flight Readiness (C of R) and Flight Readiness Reviews for Manned Space Flight Programs and Projects.</p> <ol style="list-style-type: none"> <li>1. Programmatic records such as Flight Readiness Review minutes, documentation presentation packages, action items and C of R endorsements.</li> <li>2. Project/Organization unique records that support certification of flight readiness and flight readiness reviews. These include such records as presentation, meeting minutes, attendance/signature sheets and other supporting</li> </ol>   | <p>SEE PAGE NOTE BELOW</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION APPROVAL</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION APPROVAL</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION APPROVAL</p>   |

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| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OF RECORD SERIES  | RETENTION<br><Authority>  |
|-------|------|---|---|
|       |      | documentation.  |   |
|       |      | 3. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records.  |   |
|       |      |   |   |
|       |      |   |   |
| 8600  | 27   | <b>FLIGHT DATA FILES (FDF) RECORDS</b><br><br>These records/files consist of the total on-board complement of documentation and related aids available to the flight crews for flight execution. Materials include procedural checklists, integrated timelines, cue cards, malfunction and reference data, crew activity plans, as well as decals, photos, and other specialized articles such as earth maps and star charts. The actual FDF consists of multiple copies of some documents dependent on crew requirements. The files will consist of the "as flown" materials, otherwise backup copies of flown documents will be provided if the originals are unavailable. No hardware items will be included in the materials transferred, e.g., pencils, clamps, backboards, plastic covers, edge labels, cuff checklist bracelet, and metal binding rings. These items will be removed from the FDF documents before being transferred to the Federal Records Center and/or the National Archives and Records Administration (NARA).<br><br>A. <u>SPACE SHUTTLE PROGRAM (SSP) FDF RECORDS.</u><br><br>1. Flights STS-1 through STS 51L (1981-1986)<br>(NOTE: Flights 51C and 51J are Classified; and 51L is excluded. 51L records will be shipped with the Records being maintained in the JSC Data Repository.)<br><br>2. Flights STS-26 and continuing missions. | * PERMANENT *<br>TRANSFER IMMEDIATELY TO NARA.<br><DA: N1-255-88-1><br><br>* PERMANENT *<br>RETIRE TO FRC WHEN 6 MONTHS OLD OR WHEN NO LONGER NEEDED FOR OPERATIONAL OR REVIEW PURPOSES, WHICHEVER IS EARLIER. TRANSFER TO NARA 4 YEARS AFTER MISSION/FLIGHT HAS BEEN COMPLETED.<br><DA: N1-255-88-1> |

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# PROGRAM MANAGEMENT RECORDS

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|--------------|-------------|--|--|
|              |             | B. <u>FDF RECORDS PRIOR TO STS-1 DATED 1968 (or earlier):</u> <ul style="list-style-type: none"> <li>• Apollo 8 through Apollo 17</li> <li>• Skylab 2 through Skylab 4</li> <li>• Apollo-Soyuz Test Project (ASTP)</li> <li>• Shuttle Approach and Landing Test (ALT)<br/>(~21 boxes; 5/22/68 -12/21/77)</li> </ul>  | * PERMANENT *<br>TRANSFER TO NARA UPON<br>COMPLETION OF MICROFILMING.<br>TOTAL TRANSFER OF THESE<br>RECORDS WILL BE COMPLETED<br>BY<br>DECEMBER 31, 1998.<br><DA: N1-255-88-1>   |
| 8600         | 27.5        | <b>CREW RECOMMENDATION FILE</b><br><br>A. This electronic database contains all recommendation of program improvements from space flight crews.<br><br>B. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a record for input to the Crew Recommendations electronic database.   | SEE PAGE NOTE BELOW<br><br>HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL<br><br>HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL  |
| 8610         |             | <b>Operations</b>  | (see below)  |
| 8610         | 28          | <b>CONTRACTOR PERFORMANCE EVALUATION REPORT FILES R&amp;D PROJECT NASA/DOD</b><br><br>Semiannual reports of the project manager for each major selected contract reviewed and commented upon by the contractor, and finally reviewed comprehensively at NASA Headquarters, including the final terminal report summarizing the whole period.<br><br>A. <u>PROJECT MANAGER'S FILE</u><br><br>B. <u>HEADQUARTERS.</u><br>This file includes exchanges of correspondence with the contractor and Project Manager. | RETIRE TO FRC 2 YEARS AFTER<br>COPMLETION, TERMINATION, OR<br>CANCELLATION OF THE<br>PROGRAM. DESTROY WHEN 10<br>YEARS OLD.<br><DA: N1-255-94-3> (N 25-8)<br><br>RETIRE TO FRC 1 YEAR AFTER<br>FINAL CONTRACT PAYMENT.<br>DESTROY 15 YEARS AFTER FINAL<br>PAYMENT. |

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**SCHEDULE 8**  
(AFS 8000-8999)

| <u>AFS #</u> | <u>ITEM</u> | SUBJECT AREA OR RECORD TITLE<br><u>DESCRIPTION OF RECORD SERIES</u>  | RETENTION<br><Authority>  |
|--------------|-------------|--|---|
|              |             |  | <DA: N1-255-94-3>   |
| 8610         | <b>29</b>   | <b>OPERATIONS PROGRAM PROGRESS REPORT FILES — R &amp; D</b><br><br>Reporting system for program scheduling and review (SARP) charts.<br><br>A. Office of Primary Responsibility for the reports.<br><br>B. All other offices/copies. | * PERMANENT *<br>REIRE TO FRC WHEN 2 YEARS OLD. TRANSFER TO NARA WHEN 10 YEARS OLD.<br><DA: N1-255-94-3><br><br>DESTROY WHEN 1 YEAR OLD.<br><DA: N1-255-94-3> |
| <b>8620</b>  |             | Mission Reports  | Contact Center Records Mgr.   |
| <b>8621</b>  |             | Mission Failure and Investigations and Reports   | (see below)   |
| 8621         | <b>30</b>   | STS 51-L DATA REPOSITORY RECORDS   | SEE PAGE NOTE BELOW   |
|              | A.          | JSC ONLY   | HANDLE AS PERMANENT PENDING RETENTION APPROVAL  |
|              | B.          | All other Installations - Copies retained relating to the above series of records.   | HANDLE AS PERMANENT PENDING RETENTION APPROVAL  |
| <b>8630</b>  |             | Launch Operations  | Contact Center Records Mgr.   |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-----------------------|--|--|
| <b>8631</b>  |                       | <b>Launch Scheduling</b>   | Contact Center Records Mgr.  |
| <b>8632</b>  |                       | <b>Launch Dates</b>  | Contact Center Records Mgr.  |
| <b>8635</b>  |                       | <b>Launch Testing</b>  | Contact Center Records Mgr.  |
| <b>8640</b>  |                       | <b>Flight Operations</b>   | (see below)  |
| 8640         | <b>31</b>             | <b>AUDIO TAPES - MANNED FLIGHTS/GROUND CONTROL</b><br><br>A. Manned space flights, ground control and flight crew communications (air to ground) tapes. (JSC ONLY)<br><br>1. Master tapes with all identifying information (including migration tapes if older material has been changed over to new technology). (Program Office OR Office of Primary Responsibility for control of these tapes.)<br><br>2. All other offices/copies, including working duplicates which will be clearly marked.<br><br>B. Spacecraft and launch vehicle testing including Shuttle testing. (KSC ONLY)<br><br>C. Expendable launch vehicle testing. | * PERMANENT *<br>TRANSFER TO NARA WHEN 10 YEARS OLD.<br><DA: NI-255-94-3> (N 26-9)<br><br>RETAIN IN THE JSC PHOTOGRAPHIC AND TELEVISION TECHNOLOGY DIVISION VAULT UNTIL NO LONGER NEEDED, OR 35 YEARS OLD WHICHEVER IS LATER.<br><DA: NI-255-94-3><br><br>RELEASE FOR REUSE AS SOON AS PRACTICABLE. RELEASE FOR REUSE 60 DAYS AFTER LAUNCH OF SPACECRAFT INVOLVED.<br><DA: NI-255-94-3><br><br>RELEASE FOR REUSE AS SOON AS PRACTICABLE; i.e.. 60 DAYS AFTER LAUNCH OF SPACECRAFT INVOLVED.<br><DA: NI-255-94-3> |
| <b>8650</b>  |                       | <b>Astronauts</b>  | (see below)  |
| 8650         | <b>32</b><br><br>PASR | <b>AIRCRAFT CREW MEMBERS QUALIFICATIONS AND PERFORMANCE RECORDS - NASA 10 ACMQ</b><br><br>Records in this system are of crew members of NASA aircraft which consist of (1) records of qualifications, experience, and currency, e.g., flight hours (day, night, and instrument), types of approaches and landings, crew positions, type aircraft, flight   | RETAIN RECORDS IN AGENCY SPACE. DESTROY 5 YEARS AFTER CREWMEMBER SEPARATES FROM AGENCY.<br><DA: NI-255-94-3>   |

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|--------------|-----------------------|--|--|
|              |                       | check ratings and related examination results, training performed and medical records; (2) flight itineraries and passenger manifests; and (3) biographical information.   |  |
| 8650         | <b>33</b><br><br>PASR | <b>KENNEDY SPACE CENTER (KSC) SHUTTLE TRAINING CERTIFICATION SYSTEM (YC 04) — NASA 76 STCS</b><br><br>Records contained in this system are of KSC Civil Service, KSC contractor, and DOD personnel who have received systems, skills, or safety training in support of KSC or Space Shuttle Operations. Records consist of training attendance and certifications, including certifications of physical ability to perform hazardous tasks.  | OUTDATED RECORDS ARE DESTROYED. CURRENT RECORDS ARE MAINTAINED UNTIL 3 YEARS AFTER TRAINEE IS SEPARATED FROM NASA.<br><DA: NI-255-94-3>  |
| 8650         | <b>34</b><br><br>PASR | <b>JOHNSON SPACE CENTER (JSC) ASTRONAUT TRAINING RECORDS</b><br><br>Records in this system are of astronaut training which consists of (1) T-38 and other flying records of qualification, experience, and currency; e.g., flight hours (day, night, and instrument), types of approaches and landings, crew positions, type of aircraft, flight check ratings and related examination results, training performed and medical records; (2) astronaut candidate records; (3) simulator training records; and (4) any records pertaining to overall astronaut training for space flights. | * PERMANENT *<br>TRANSFER TO NARA 5 YEARS AFTER COMPLETION OF TRAINING PROGRAM, i.e., EACH SEPARATE TRAINING PROGRAM SUCH AS T-38, SIMULATOR, OR OVERALL TRAINING FOR A SPECIFIC MISSION.<br><DA: NI-255-94-3> |
| 8650         | <b>35</b>             | <b>ASTRONAUT SELECTION DATABASE (ELECTRONIC)</b><br><br>Electronic records consisting of the selection process and the names of those selected, including any other related materials maintained in the database.  | * PERMANENT *<br>TRANSFER TO NARA WITHIN 6 MONTHS AFTER CLASS SELECTION.<br><DA: NI-255-94-3>  |

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|--------------|-------------|--|---|
|              |             |  |   |
| 8651         |             | <b>Payload Specialists</b>   | Contact Center Records Mgr.   |
| 8660         |             | <b>Range Integration and Support</b>   | Contact Center Records Mgr.   |
| 8670         |             | <b>Weather</b>   | Contact Center Records Mgr.   |
| 8680         |             | <b>Payloads-Management and Operations</b>  | (see below)   |
| 8680         | 36          | <b>PAYLOAD PROCESSING DOCUMENTATION (KSC ONLY)</b><br><br>A. <u>PAYLOAD PROCESSING</u><br>Payload records pertaining to Operations and Maintenance Instructions, Test and Assembly Procedures, Test and Inspection Records, Discrepancy Reports, Test Preparation Sheet, Assembly Orders, Fabrication Orders, Removal Control Cards, Contractor Unique Work Documents, and associated documentation.<br><br>1. Specified records (as cited above) which are mission and non-mission unique.<br><br>(a) Paper records.<br><br><br>(b) Microfilm.<br><br><br>2. Records pertaining to entry control logs, calibration and maintenance, data sheets, contamination analysis/cleaning, support requests, temperature/humidity charts, field engineering change, engineering instructions and associated documentation.<br><br><br>3. Records pertaining to Operations, Maintenance, Requirements, and Specifications including Revision Change Notices and Exceptions/Waivers. | RETIRE TO FRC WHEN 1 YEAR OLD AND <u>AFTER</u> MICROFILMING. DESTROY WHEN 16 YEARS OLD. <DA: NI-255-90-1><br><br>RETAIN AT KSC. DESTROY WHEN 20 YEARS OLD. <DA: NI-255-90-1><br><br>RETAIN RECORDS FOR 1 YEAR FOLLOWING MISSION, THEN DESTROY. <DA: NI-255-90-1><br><br>RETAIN DOCUMENTS FOR 2 YEARS ON-SITE, THEN RETIRE TO FRC FOR 5 YEARS. DESTROY WHEN 7 YEARS OLD. <DA: NI-255-90-1><br><br>RETAIN DOCUMENTS FOR 5 |

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## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|--|--|
|              |             | <p><b>B. <u>PAYLOAD SAFETY DATA</u></b><br/>Records in this series consist of payload safety packages for Phase 0, I, II, and III safety reviews; non-compliance reports; and general correspondence for each STS payload and expendable launch vehicle NASA payload.</p> <p>1. SAFETY OFFICE.</p> <p>2. PAYLOAD OFFICE.<br/><br/>Files consist of documents designed for specific payload series, i.e., TDRS, etc.</p> <p>3. ALL OTHER OFFICES/COPIES.</p> <p><b>C. <u>PAYLOAD DATA TAPES/OPTICAL DISK DATA (KSC ONLY)</u></b><br/><br/>These are the magnetic data tapes for the payload as it relates to the STS Program.</p> <p>1. Automated test equipment/high rate data system tapes (Spacelab).</p> <p>2. Cargo integration test equipment/CITE augmentation system data tapes.<br/><br/>(a) CITE Tapes.</p> | <p>YEARS AFTER LAST PAYLOAD LAUNCH.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RETAIN DOCUMENTS FOR 5 YEARS AFTER COMPLETION OF LAUNCH. DESTROY WHEN 6 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RETAIN DOCUMENTS FOR 5 YEARS AFTER LAST PAYLOAD LAUNCH. DESTROY 6 YEARS AFTER LAST LAUNCH IN PAYLOAD SERIES.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED OR WHEN 2 YEARS OLD WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RETAIN UNTIL 1 MONTH AFTER THE NEXT SIMILAR SPACELAB MISSION THEN DESTROY (RELEASE FOR REUSE).<br/>&lt;DA: N1-255-90-1 6.a&gt;</p> <p>RETAIN FOR 1 YEAR THEN DESTROY OR RELEASE FOR REUSE.<br/>&lt;DA: N1-255-90-1 6.b.(l)&gt;</p> <p>RETAIN FOR 30 DAYS THEN</p> |

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|--------------|-------------|--|--|
|              |             | <p>(b) CAS Tapes.</p> <p>3. Payload checkout unit/high rate multiplexer input/output test set/partial payload checkout unit.</p> <p>4. Tapes relating to the storage of database operating system and magnetically archived data records for the Payload Data Management System.</p> <p>5. Tapes relating to the storage of telemetry and tracking data from the launch of expendable launch vehicles (ELV).</p> | <p>DESTROY OR RELEASE FOR REUSE.<br/>&lt;DA: NI-255-90-1 6.b.(2)&gt;</p> <p>RETAIN UNTIL 1 YEAR AFTER COMPLETION OF MISSION, THEN DESTROY OR RELEASE FOR REUSE.<br/>&lt;DA: NI-255-90-1 6.c.&gt;</p> <p>TAPES ARE RECYCLED FOR USE 2 YEARS AFTER CREATION.<br/>&lt;DA: NI-255-90-1 6.d.&gt;</p> <p>MAJOR TEST TAPES ARE RECYCLED AFTER 5 SIMILAR MISSIONS. OTHER TAPES WILL BE RECYCLED AFTER THE LAUNCH OF THE NEXT SIMILAR VEHICLE.<br/>&lt;DA: NI-255-90-1 6.e.&gt;</p> |
|              |             |  |  |
| <b>8681</b>  |             | <b>Shuttle Payloads</b>  | Contact Center Records Mgr.  |
| <b>8682</b>  |             | <b>Expendable Launch Vehicles (ELVs) (Satellites)</b>  | Contact Center Records Mgr.  |
| <b>8683</b>  |             | <b>Space Station</b>   | Contact Center Records Mgr.  |
| <b>8700</b>  |             | <b>Safety and Mission Assurance</b>  | (see below)  |
| 8700         | <b>36.5</b> | <b>SAFETY AND MISSION ASSURANCE</b>  | SEE PAGE NOTE BELOW  |
|              |             | A. Safety, Reliability & Quality Assurance (JSC Only) Records relating to risk/safety assessments/certification for flight hardware<br>(i.e., GFE, Payloads, EVA Hardware/Equipment, etc.)   | HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL  |
|              |             | B. Problem Reporting and Corrective Action (PRACA) Reports (JSC Only) Records consist of problems reported on hardware associated with flight and flight support equipment (i.e. Government Furnished Equipment, flight equipment, etc.)   | HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL  |
|              |             | C. Quality Assurance Surveillance Records/System   | HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL  |
|              |             | 1. Documents related to quality assurance audits, special studies, status reports, etc. including related correspondence and original  | HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL  |

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|--------------|-------------|--|---|
|              |             | forms which document the quality assurance daily work effort.  |   |
|              |             | 2. Documents related to Quality assurance inspection stamps, including stamp audits, and stamp issuance records for NASA and support contractor inspections and designated verification.   |   |
|              |             | (a) Stamp audit documents.   | HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL   |
|              |             | (b) Stamp issuance documents.  |   |
|              |             | (1) NASA Civil Service and designated verification personnel.  |   |
|              |             | (2) NASA Support Contractor personnel.   |   |
|              |             | D. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records.   |   |
| 8700         | 38          | <b>RADIOACTIVE MATERIALS INSPECTION AND TEST FILES</b><br><br>Documents relating to the inspection of materials, premises, and facilities where radioactive, hazardous, and toxic materials are used or stored and documents pertaining to tests made of such premises, facilities, and radiation detecting or monitoring devices.<br><br>A. Office of Primary Responsibility.<br><br>B. All other offices/copies. | RETIRE TO FRC WHEN 6 YEARS OLD. DESTROY WHEN 75 YEARS OLD.<br><DA: N1-255-94-3> (N 21-12)<br><br>DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-3> |
| 8700         | 39          | <b>RADIATION MONITORING AND DISPOSAL FILES</b><br><br>Records maintained to conform with Nuclear Regulatory Commission (NRC)/Department of Energy (DOE) regulations regarding radiation monitoring and disposal.<br>NOTE: Also see Schedule 1, AFS 1860. This AFS deals  | DESTROY WHEN 75 YEARS OLD.<br><DA: N1-255-94-3> (N 21-13)   |

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|------------------|-------------|---|--|
|                  |             | specifically with Radiological Health Records. [See Item 130, Schedule 1]   |  |
| 8700             | <b>40</b>   | <b>RADIOACTIVE MATERIALS LICENSE FILES</b><br><br>Documents relating to requests for issuance of, and compliance with, licenses for by-product, source, and special nuclear materials. Included are applications for license, approval documents, licenses, requests for, and approval of disapproval of, deviations, documents relating to changes in personnel authorized to receive and handle such materials, and related papers. | DESTROY 10 YEARS AFTER EXPIRATION OR RENEWAL OF THE LICENSE, PROVIDED ALL MATERIAL PROCURED HAS BEEN DISPOSED OF.<br><DA: N1-255-94-3> (N 21-11) |
| <b>8710</b>      |             | <b>Safety and Mission Assurance Policy (General) (S&amp;MA)</b>   | Contact Center Records Mgr.  |
| <b>8715</b>      |             | <b>Occupational Safety and Health Program Application (OSHA)</b>  | (see below)  |
| 8715<br>Was 8720 | <b>37</b>   | OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) CITATION FILES<br><br>Files consist of original letters of Citation & Notification of Penalty from the U.S. Department of Labor; Results of investigations; Modification Abatement Plan Requests; and Final Abatement Plan Documentation.  | RETIRE TO FRC 5 YEARS AFTER DATE OF ABATEMENT/ RESOLUTION. DESTROY 10YEARS AFTER DATE OF ABATEMENT/ RESOLUTION.<br><DA: NI-255-94-3>             |
| <b>8720</b>      |             | <b>Reliability, Availability, and Maintainability Policy</b>  | (see below)  |
| 8720             | <b>41</b>   | <b>HEALTH AND MEDICAL CASE HISTORIES OF ASBESTOS WORKERS</b><br><br>Health and medical case histories and physical examination records, including X-ray films, for all asbestos workers (employees exposed to airborne concentration of asbestos fibers).   | RETIRE WITH INDIVIDUAL EMPLOYEE HEALTH CASE FILES AS LISTED IN SCHEDULE 1, EMPLOYEE HEALTH RECORDS, OF THIS NPG.<br>[GRS 1-21] (N 11-4d)         |
| <b>8730</b>      |             | <b>Quality Management</b>   | Contact Center Records Mgr.  |
| <b>8750</b>      |             | <b>Software Management Assurance Policy</b>   | Contact Center Records Mgr.  |
| <b>8800</b>      |             | <b>Real Property and Facilities</b>   | (see below)  |
| 8800             | <b>42</b>   | <b>ASBESTOS RECORDS</b>   |  |

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|--------------|-------------|---|---|
|              |             | The work plan which includes drawings, qualifications of personnel, and abatement procedures; notification of the work to be done to the regulatory agency; analytical reports from the laboratory verifying the levels of asbestos exposure; and, the final report by the abatement contractor to NASA.  | RETAIN ON-SITE FOR 30 YEARS<br>THEN RETIRE TO FRC. DESTROY<br>WHEN 55 YEARS OLD.<br><DA: N1-255-94-3>   |
| 8800         | 43          | <p><b>ENVIRONMENTAL RECORDS</b></p> <p>Reports concerning the prevention, control, and abatement of air and water pollution at NASA facilities. This record series covers in generic terms miscellaneous records not covered under a specific item in this series.</p> <p>A. <u>ENVIRONMENTAL REPORTS - MISCELLANEOUS</u></p> <p>Installation report to NASA Headquarters, and reports as compiled by Headquarters from the installation submissions.</p> <p>1. Reporting Installation.</p> <p>2. Headquarters.</p> <p>B. <u>RESOURCE CONSERVATION AND RECOVERY ACT</u></p> | <p>RETAIN ON-SITE FOR 5 YEARS<br/>AND THEN DESTROY<br/>UNLESS THERE IS AN<br/>EARLIER DESTRUCTION<br/>AUTHORIZED EITHER IN THIS<br/>HANDBOOK BY<br/>SPECIFIC RECORD SERIES;<br/>CITATION IN THE CODE OF<br/>FEDERAL REGULATION'<br/>(CFR); OR SOME OTHER<br/>APPROPRIATE REGULATORY<br/>AUTHORITY OR SPECIFIC STATE<br/>AGENCY GOVERNING SUCH<br/>RECORDS.<br/>&lt;DA: NI-255-94-3&gt; (N 18-13)</p> <p>TRANSFER TO FRC WHEN 3<br/>YEARS OLD. DESTROY WHEN 6<br/>YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> |

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|--------------|-------------|--|--|
|              |             | <p><u>RECORDS (RCRA)</u></p> <p>Records include correspondence concerning hazardous waste activities including Notices of Hazardous Waste activities; hazardous waste generators report(s); inspections, notices of violations and corrective actions, and treatment; storage and disposal facility audits; toxic chemical source reduction; recycling and solid waste management; used oil management and recycling; and, general correspondence about such activities.</p> <p>1. Notices of Hazardous Waste Activity.</p> <p>2. Hazardous Waste Generators Report and Manifests.</p> <p>C. <u>TOXIC SUBSTANCE CONTROL ACT RECORDS (TSCA)</u></p> <p>Records include correspondence concerning polychlorinated biphenyls (PCB) and asbestos including records of PCBs in service; spills and clean-up records; PCB transformer inspections and PCB annual documents; notifications of asbestos removal; inspections; notices of violation and corrective actions; treatment, storage, and disposal facility audits; and, general correspondence about PCB and asbestos activities.</p> <p>1. Records of PCBs in service (Report to EPA).</p> <p>2. PCB spills and cleanup records.</p> <p>3. PCB transformer inspections.</p> | <p>DESTROY WHEN NOTICE HAS BEEN REVISED OR WHEN 3 YEARS OLD, WHICHEVER IS LATER.<br/>[AUTHORITY: 40 CFR]<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN 3 YEARS OLD.<br/>[AUTHORITY: 40 CFR]<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN 3 YEARS OLD.<br/>[AUTHORITY: 40 CRF]<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN 5 YEARS OLD. [AUTHORITY: 40 CRF]<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY 3 YEARS AFTER DISPOSAL OF RELATED TRANSFORMER. [AUTHORITY: 40 CFR/761.30]<br/>&lt;DA: N1-255-94-3&gt;</p> |

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(AFS 8000-8999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|--|---|
|              |             | <p>4. PCB Annual Document.</p> <p>D. <u>CLEAN WATER ACT</u><br/>Records include correspondence concerning all water resource activities including monthly discharge monitoring reports; local monitoring reports; permit applications, underground storage tanks; wells; wetlands; inspections; notices of violation and corrective actions; and, general correspondence about water and wetland resources.</p> <p>1. Underground storage tanks.<br/><br/>Records consist of notifications of, release reports, corrective actions, and closure notifications.</p> <p>2. Monthly discharge monitoring reports (LaRC ONLY).</p> <p>3. Hampton Roads Sanitation District (HRSD) Self Monitoring Reports (LaRC ONLY).</p> <p>4. Toxic management program records.</p> <p>5. Permits from the Virginia Pollution Discharge</p> | <p>DESTROY 5 YEARS AFTER STOPPING USE OR STORING OF PCBs.<br/>[AUTHORITY: 40 CFR/ 761.180]<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY RECORDS WHEN 3 YEARS OLD, EXCEPT CLOSURE NOTIFICATIONS WHICH ARE DESTROYED 3 YEARS AFTER CLOSURE OF THE RELATED TANK.<br/>[AUTHORITY: 40 CFR]<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN 3 YEARS OLD.<br/>[AUTHORITY: HAMPTON ROADS SANITATION DISTRICT REGULATIONS AND STATE WATER CONTROL BOARD VIRGINIA]<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN 3 YEARS OLD.<br/>[AUTHORITY: HRSD REGS.]<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN 3 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-3&gt;</p> |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|--|--|
|              |             | Elimination System (VPDES) and HRSD (LaRC ONLY).   | DESTROY WHEN 2 YEARS OLD.<br>[AUTHORITY: STATE<br>DEPARTMENT OF AIR POLLUTION<br>CONTROL, VIRGINIA]<br><DA: N1-255-94-3>                       |
|              |             | E. <u>CLEAN AIR ACT (LaRC ONLY)</u><br>Records include correspondence concerning all air pollution activities including air source registrations and permits; "non-criteria" pollutants; inspections; notices of violation and corrective actions; and, general correspondence about air resources.  | DESTROY WHEN 3 YEARS OLD.<br>[AUTHORITY: 40 CRF]<br><DA: N1-255-94-3>  |
|              |             | F. <u>SUPERFUND AMENDMENTS AND REAUTHORIZATION ACT (SARA)</u><br>Records include correspondence concerning Tier II Reports and Community-Right-to-Know activities; inspections; notices of violation and corrective actions; and, general correspondence about storage of hazardous materials.   | RETIRE WHEN 5 YEARS OLD.<br>DESTROY WHEN 10 YEARS OLD.<br>[AUTHORITY: 40 CRF]<br><DA: N1-255-94-3>   |
|              |             | G. <u>COMPREHENSIVE ENVIRONMENTAL RESPONSE COMPENSATION AND LIABILITY ACT (CERCLA)</u><br>Records include correspondence concerning contaminated site activities including Preliminary Assessments and Remedial investigations/feasibility studies; clean-up and remediation activities, site closure plans and activities; inspections; notices of violation and corrective actions; and, general correspondence about such activities. | DESTROY WHEN 5 YEARS OLD.<br>[AUTHORITY: COUNCIL ON ENVIRONMENTAL QUALITY (CEQ)]<br><DA: N1-255-94-3>  |
|              |             | H. <u>NATIONAL ENVIRONMENTAL POLICY ACT</u><br>Records include correspondence concerning Federal environmental assessment issues including environmental assessments, environmental analyses; environmental impact statements; press releases and public comments on impact statements, environmental consideration records; and general correspondence about such activities.   | DESTROY 7 YEARS AFTER COMPLETION OF EXISTING FEDERAL FACILITIES COMPLIANCE AGREEMENT WITH EPA APPROVAL. [AUTHORITY: FFCA]<br><DA: N1-255-94-3> |
|              |             | I. <u>SPECIAL AGREEMENTS</u><br>Records include correspondence concerning special agreements or actions Federal, State, and local regulatory agencies including Federal Facility Compliance Agreements (FFCA); consent agreements; interagency   |  |

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|--------------|-------------|--|--|
|              |             | <p>agreements; notices of non-compliance with such agreements; corrective actions; and, general correspondence about such activities.</p> <p>J. <u>ROUTINE CORRESPONDENCE - ENVIRONMENTAL ENGINEERING (LaRC ONLY)</u><br/>Records include routine correspondence with other NASA centers Headquarters, and regulatory agencies such as U.S. Environmental Protection Agency; State Water Control Board; Hampton Roads Sanitation District, Virginia Department of Waste Management; Fish and Wildlife; and, the Virginia Department of Health.</p>   | <p>DESTROY WHEN 3 YEARS OLD UNLESS OTHERWISE DICTATED OR SPECIFIED BY FEDERAL, STATE, OR LOCAL REGULATORY AGENCY WHICHEVER IS LONGER.<br/>&lt;DA: N1-255-94-3&gt;</p>  |
| 8800         | 44          | <p><b>WIND TUNNEL FILES</b></p> <p>A. <u>WIND TUNNEL FACILITY - R&amp;D PROJECT (MSFC ONLY)</u><br/>Records in this series are historical and experimental data from wind tunnel tests run on a 14-inch Trisonic Wind Tunnel and the High Reynolds Number Wind Tunnel. Tests were "force" test data with respect to: (1) 14" data on mock model shuttle and (2) High Reynolds data on solid rocket booster motor. Data is submitted and filed by the associated tunnel used and test number for both facilities. NOTE: This is a CLOSED Series. Dated: 1970-1985 ~ 56 cu. ft.</p> <p>B. <u>NATIONAL TRANSONIC WIND TUNNEL (1980 - 1990) (LaRC ONLY)</u><br/>Records in these files (both inactive and active) consist of case files which include but are not limited to Work Packages, which are the instructions and specifications on maintenance/operations, configuration, and how to operate the structure, including wind tunnel test files which include the results of tests, drawings, models, fabrication and design, and specifications from start to finish of the project. NOTE: This is a CLOSED Series. The Wind Tunnel was demolished over a 5-year period. There is currently 10 years of records on-hand.</p> | <p>RETIRE TO FRC UPON APPROVAL OF THIS SCHEDULE. DESTROY IN THE YEAR 2005.<br/>[Supersedes N1-255-92 Chg]<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RETIRE TO FRC UPON APPROVAL OF THIS SCHEDULE. DESTROY IN THE YEAR 2005.<br/>&lt;DA: N1-255-94-3&gt;</p> |

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|--------------|-------------|---|---|
|              |             | C. <u>WIND TUNNEL RECORDS — GENERAL</u><br>Records in these files (both inactive and active) consist of case files which include but are not limited to work packages, instructions and specifications on the maintenance and operation, configuration, and how to operate the structure; and, wind tunnel test files, which include the results of tests, drawings, models, fabrication and design, and specifications from start to finish. | RETAIN RECORDS UNTIL NO LONGER NEEDED FOR REFERENCE USE, DISCONTINUANCE OF FACILITY, OR WHEN 15 YEARS OLD, WHICHEVER IS LATER.<br><DA: N1-255-94-3>   |
| 8800         | 45          | <b>FACILITIES PROJECT CASE FILES</b><br><br>Documents relating to project requests, including approval, establishing funds, schedules of accomplishments, progress, payments, and the finalization<br><br>A. Office of Primary Responsibility — Headquarters.<br><br>B. All other offices/copies.   | RETIRE TO FRC 2 YEARS AFTER PHYSICAL COMPLETION OR DISBANDING OF PROJECT. DESTROY 5 YEARS LATER.<br><DA: N1-255-94-3> (N 18-11)<br><br>DESTROY 2 YEARS AFTER PHYSICAL COMPLETION OR DISBANDING OF PROJECT.<br><DA: N1-255-94-3> |
| 8800         | 46          | <b>PLANT ACCOUNTING FILES</b><br><br>Plant account cards and ledgers pertaining to structures. Files of units responsible for plant, cost, and stores accounting operations.  | DESTROY WHEN 3 YEARS OLD.<br>[GRS 8-1 (88)] (N 5-1)   |
|              |             |   |   |
|              |             |   |   |
| <b>8810</b>  |             | <b>Land and Improvements</b>  | (see below)   |
| 8810         | 47          | <b>AGENCY SPACE FILES</b><br><br>Records relating to the allocation, utilization, and release of space under agency control, and related reports to the General Services Administration.<br><br>A. Building plan files and related agency records utilized in space planning, assignment, and adjustment.   | DESTROY 2 YEARS AFTER TERMINATION OF ASSIGNMENT, OR WHEN LEASE IS CANCELLED, OR WHEN PLANS ARE SUPERSEDED OR OBSOLETE.<br>[GRS 11-2a] (N 18-3)  |

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|--------------|-------------|---|--|
|              |             | <p>B. Building space utilization report; annual reports of space utilization of all buildings, including numbers of people, areas, and purposes for which used (NASA Form 1400).</p> <p>C. Installation or facility records consisting of institutional housing requirements; quarterly real property inventory; and real property summary reports.</p> <p>D. Installation real property inventories, trailer reports, and rental of real property reports submitted by program offices and/or installations.</p> <p>E. Correspondence with and reports to staff agencies relating to agency space holdings and requirements.</p> <p>1. Agency reports to the General Services Administration, including SF 81, Request for Space, and related documents, concerning space occupied in "Metropolitan Washington" and "Outside the District of Columbia," and related papers.</p> <p>2. Copies in subordinate reporting units and related work papers.</p> | <p>DESTROY 2 YEARS AFTER DATE OF SUBMISSION TO HEADQUARTERS.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY 2 YEARS AFTER DISPOSAL OF INSTALLATION OR FACILITY.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>RETAIN CURRENT AND PREVIOUS FISCAL YEAR REPORTS. DESTROY ALL OTHERS.<br/>&lt;DA: N1-255-94-3&gt;</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 11-2b]</p> <p>DESTROY WHEN 1 YEAR OLD.<br/>[GRS 11-2b]</p> |
| 8810         | 48          | <p><b>REAL PROPERTY FILES</b></p> <p>A. <u>CONSTRUCTION FILES</u></p> <p>1. STUDIES<br/>Studies relating to real property together with background papers showing inception, scope, and accomplishments. Intermediate and pre-final, and space plans of Federal structures and engineering projects. Cut off date is date of record.</p> <p>(a) Selected studies that are considered unique in character.</p> <p>(b) Routine studies of temporary nature.</p>   | <p>MAY RETIRE TO FRC WHEN 10 YEARS OLD OR WHEN NO LONGER NEEDED FOR REFERENCE, WHICHEVER IS SOONER. DESTROY WHEN 30 YEARS OLD.<br/>&lt;DA: N1-255-00-1&gt; (N 18-4)</p> <p>RETAIN FOR 3 YEARS, THEN DESTROY WHEN NO LONGER</p>   |

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**PROGRAM MANAGEMENT RECORDS****SCHEDULE 8**  
**(AFS 8000-8999)**

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|---------------------|--------------------|--|--|
|                     |                    | <p>(c) Records and files NOT included under Item 44 (Wind Tunnel Files) of this schedule.</p> <p>2. ACTUAL CONSTRUCTION<br/>Construction office files consisting of documents relating to<br/>project requests, including approval, establishing funds, schedules of accomplishments, progress, payments, and the finalization, intermediate, and prefinal, final working, as built, shop, repair and alteration, contract, and standard drawings, project specifications, with associated documents relating to their preparation of Federal structures and engineering projects.<br/>NOTE: The subitems below need to be separated by disposition before transfer to the FRC.</p> <p>(a) Unique buildings/facilities, such as the Vertical Assembly Building (VAB); Pads A &amp; B; Space Station Facility; etc.</p> <p>(b) Routine office/lab buildings/facilities.</p> | <p>NEEDED FOR REFERENCE OR WHEN 10 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-00-1&gt;</p> <p>MAY RETIRE TO FRC WHEN NO LONGER NEEDED FOR ADMINISTRATIVE PURPOSES. DESTROY WHEN 15 YEARS OLD.<br/>&lt;DA: N1-255-00-1&gt;</p> <p>*PERMANENT*<br/>RETAIN ON-SITE FOR 3 YEARS AFTER COMPLETION OF CONSTRUCTION OR UNTIL AFTER FINAL PAYMENT. MAY RETIRE TO FRC AFTER 3 YEARS. TRANSFER TO NARA 8 YEARS AFTER COMPLETION OR FINAL PAYMENT.<br/>&lt;DA: N1-255-00-1&gt;</p> <p>RETAIN ON-SITE FOR 3 YEARS AFTER COMPLETION OF CONSTRUCTION OR UNTIL AFTER FINAL PAYMENT. MAY RETIRE TO FRC AFTER 3 YEARS. DESTROY WITHIN ONE YEAR AFTER DEMOLITION OF STRUCTURE.<br/>&lt;DA: N1-255-00-1&gt;</p> |

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## PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|--|---|
|              |             | <p>3. PHOTOS/VIDEO<br/>Construction photos taken during the construction process consisting of in-progress, interim, and final shots of a facility<br/>AND NOT included in the official numbered installation photo collection.</p> <p>(a) Unique building/facilities (see actual Construction above).</p> <p>(b) Routine office/lab buildings/facilities.</p> <p>B. <u>INSTALLATION RECORDS — LEASES, DRAWINGS, ETC.</u></p> <p>1. Records consists of easements, leases, licenses, permits, and agreements which have been terminated or have expired; installation brochures and historical data; appraisal reports; correspondence pertaining to installation; industrial facilities data; and real property disposal documents.</p> <p>2. Drawings, correspondence, reports, and all other documents maintained by installation of primary responsibility</p> | <p>*PERMANENT*</p> <p>FILE WITH THE ACTUAL CONSTRUCTION CASE FILE. RETAIN ON-SITE FOR 3 YEARS AFTER COMPLETION OF CONSTRUCTION OR UNTIL AFTER FINAL PAYMENT. MAY RETIRE TO FRC AFTER 3 YEARS. TRANSFER TO NARA 8 YEARS AFTER COMPLETION OR FINAL PAYMENT.<br/>&lt;DA: N1-255-00-1&gt;</p> <p>RETAIN ON-SITE FOR 3 YEARS AFTER COMPLETION OF CONSTRUCTION OR UNTIL AFTER FINAL PAYMENT. MAY RETIRE TO FRC AFTER 3 YEARS. DESTROY WITHIN ONE YEAR AFTER DEMOLITION OF STRUCTURE.<br/>&lt;DA: N1-255-00-1&gt;</p> <p>*PERMANENT*</p> <p>MAY RETIRE TO FRC 2 YEARS AFTER DISPOSAL OF INSTALLATION. TRANSFER TO NARA 25 YEARS AFTER DISPOSAL OF INSTALLATION.<br/>&lt;DA: N1-255-00-1&gt; (N 18-2)</p> <p>*PERMANENT*</p> <p>MAY RETIRE TO FRC 2 YEARS AFTER DISPOSAL OF PROPERTY. TRANSFER TO NARA 25 YEARS AFTER DISPOSAL OF PROPERTY.<br/>&lt;DA: N1-255-00-1&gt; (N 18-12)</p> |

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|--------------|-------------|--|---|
|              |             | <p>relating to<br/>design and construction of facilities, including maps,<br/>layouts,<br/>building plans, water and drainage systems, alterations,<br/>additions, betterments, and removals made to property and<br/>all<br/>other pertinent information.</p> <p>3. NASA Base Operations Contractor Project Control Board<br/>Files</p> <p>(a) Approved, disapproved and cancelled Approved Work<br/>Order Numbers held by the contractor for NASA. Records<br/>in this group include but are not limited to copies of<br/>proposed Task Orders and Board Minutes.</p> <p>(b) All other copies of records described in (a) above held in<br/>NASA Offices. Cut off date is date of record.</p> <p>4. Work Authorization Packages For New or Modified<br/>Facilities</p> <p>Record copy of individual files, controlled by Work<br/>Authorization Package (WAP), pertaining to changes in<br/>configuration of physical structures, new or modified, and<br/>unique work activities on assigned facilities, systems and<br/>equipment within the contractual cost/scope limits provided<br/>to<br/>the Base Operations Contract. (Series includes both NASA-<br/>held and Contractor-held Government owned records.) Cut<br/>off<br/>date for file is date of WAP document in file.</p> <p>(a) Approved WAPs.</p> <p>(b) Disapproved and cancelled WAPs.</p> | <p>DESTROY 6 YEARS AND 3<br/>MONTHS AFTER FINAL PAYMENT<br/>OF THE CONTRACT.<br/>&lt;DA: N1-255-00-1&gt;</p> <p>RETAIN FOR 3 YEARS, THEN<br/>DESTROY WHEN NO LONGER<br/>NEEDED OR WHEN 5 YEARS OLD,<br/>WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-00-1&gt;</p> <p>MAY RETIRE TO FRC WHEN 5<br/>YEARS OLD. DISTROY WHEN 20<br/>YEARS OLD.<br/>&lt;DA: N1-255-00-1&gt;</p> <p>DISTROY WHEN NO LONGER<br/>NEEDED OR WHEN 3 YEARS OLD,<br/>WHICHEVER IS LATER.<br/>&lt;DA: N1-255-00-1&gt;</p> <p>RETIRE TO FRC WHEN NO<br/>LONGER NEEDED FOR<br/>REFERENCE. DESTROY WHEN 20<br/>YEARS OLD. [HISTORY OFFICE<br/>MAY RETAIN INDEFINITELY FOR<br/>REFERENCE.]<br/>&lt;DA: N1-255-00-1&gt;</p> <p>*PERMANENT*<br/>RETIRE TO FRC UPON</p> |

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|-------|------|---|--|
|       |      | <p>C. <u>REPORTS — REAL PROPERTY</u></p> <p>Records consisting of the record copies of real property reports to GSA; inventory reports of jurisdictional status of Federal areas within states; report of NASA total facilities; report of NASA industrial facilities; and report of in-house facilities. Cut off date is date of report.</p> <p>D. <u>MASTER PLANS</u></p> <p>1. Installation files (one copy of each revision should be maintained in the historical files for facilities management).</p> <p>2. NASA Headquarters copy. Cut off date is date of record.</p> <p>E. <u>TITLE PAPERS</u></p> <p>Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise), including any payment or voucher records.</p> <p>1. Papers for property acquired prior to January 1, 1921.</p> <p>2. Papers for property acquired after December 31, 1920, other</p> | <p>DISCONTINUANCE OF INSTALLATION OR FACILITY. TRANSFER TO NARA 25 YEARS AFTER DISCONTINUANCE OF INSTALLATION OR FACILITY. &lt;DA: N1-255-00-1&gt;</p> <p>RETAIN FOR 3 YEARS, THEN DESTROY WHEN OBSOLETE, SUPERSEDED, OR WHEN 10 YEARS OLD, WHICHEVER IS SOONER. &lt;DA: N1-255-00-1&gt;</p> <p>*PERMANENT*<br/>TRANSFER TO NARA AFTER UNCONDITIONAL SALE OR RELEASE BY THE GOVERNMENT. &lt;DA: N1-255-94-3&gt; (N 18-1)</p> <p>DESTROY 10 YEARS AFTER UNCONDITIONAL SALE OR RELEASE BY THE GOVERNMENT OF CONDITIONS, RESTRICTIONS, MORTGAGES, OR OTHER LIENS. [GRS 3-1a]</p> <p>TRANSFER TO PURCHASER AFTER UNCONDITIONAL SALE OR RELEASE BY THE GOVERNMENT OF CONDITIONS, RESTRICTIONS, MORTGAGES, OR OTHER LIENS. [GRS 3-1b]</p> <p>TRANSFER TO NEW CUSTODIAN UPON COMNPLETION OF SALE, TRADE, OR DONATION PROCEEDINGS, OR ACCEPTANCE OF PURCHASE MONEY MARTGAGE.</p> |

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|--------------|-------------|--|---|
|              |             | <p>than abstract or certificate of title.</p> <p>3. Abstract or certificate of title.</p> <p>4. Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect s sketches, working diagrams, preliminary, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists as well as duplicate copies of title papers, provided (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.</p> <p>NOTE: Case files on the disposal of surplus real and related personal property and excess real property reports are not covered by the GRS because some of these files may have long-term legal value. NASA must schedule these series by submitting a SF 115 to NARA.</p> | <p>[GRS 4-4]</p> <p>DESTROY/DELETE AFTER THE RECORDKEEPING COPY HAS BEEN PRODUCED.<br/>&lt;DA: N1-255-00-1&gt;</p> <p>DESTROY/DELETE AFTER DISSEMINATION, REVISION, OR UPDATING IS COMPLETED.<br/>&lt;DA: N1-255-00-1&gt;</p> |

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|--------------|-----------------------|--|--|
|              |                       | <p>F. <u>ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES</u></p> <p>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p> <p>1. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are only to produce the recordkeeping copy.</p> <p>2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> |  |
| <b>8811</b>  |                       | <b>Acquisition</b>   | Contact Center Records Mgr.  |
| <b>8812</b>  |                       | <b>Utilization and Management</b>  | Contact Center Records Mgr.  |
| <b>8813</b>  |                       | <b>Transfer of / Disposal</b>  | Contact Center Records Mgr.  |
| <b>8814</b>  |                       | <b>Housing and Personnel Quarters</b>  | (see below)  |
| 8814         | <b>49</b>             | <b>HOUSE APPLICATION FILES</b>   |  |
|              |                       | <p>A. Applications for, and certificates of eligibility for housing of essential employees, and all related documents.</p> <p>B. Forms requesting agency assistance in housing matters, such as rental or Purchase.</p>  | <p>DESTROY 5 YEARS AFTER THE ISSUANCE OF EACH CERTIFICATE.<br/>&lt;DA: N1-255-94-3&gt; (N 15-31)</p> <p>DESTROY WHEN 1 YEAR OLD.<br/>[GRS 1-25e]</p> |
| 8814         | <b>50</b><br><br>PASR | <b>WALLOPS FLIGHT FACILITY BASE HOUSING TENANT RECORDS - NASA 53 BHTR</b>  |  |
|              |                       | Records in this system consist of housing rental agreements, records of rent receipts and records of dormitory occupants.  | <p>DESTROY WHEN 30 YEARS OLD UNLESS AUTHORIZED BY ANOTHER SERIES IDENTIFIED WITHIN THESE SCHEDULES.<br/>&lt;DA: N1-255-94-3&gt;</p>                  |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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| <u>AFS #</u> | <u>ITEM</u>    | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|----------------|--|---|
| 8814         | 51<br><br>PASR | <b>WHITE SANDS TEST FACILITY FEDERAL HOUSING ADMINISTRATION (FHA) 809 HOUSING PROGRAM - NASA 73 FHAP</b><br><br>Records in this system consist of WSTF Civil Service and contractor personnel who have applied for FHA 809 housing. Records contain personal data (i.e., name, address, home phone, age, etc.), realtor, mortgage, and employment data.  | CERTIFICATES ARE HELD FOR 5 YEARS AFTER ISSUANCE AND THEN DESTROYED. INDEX CARDS ARE RETAINED IN AGENCY SPACE UNTIL 50 YEARS OLD AND THEN DESTROYED.<br><DA: N1-255-94-3>   |
| 8820         |                | <b>Construction of Facilities (C of F)</b>   | (see below)   |
| 8820         | 52             | <b>SHOP PLANNING AND LAYOUT FILES</b><br><br>Documents reflecting the layout, location, and comparable data relative to manufacturing space, machinery, and equipment.   | DESTROY WHEN SUPERSEDED OBSOLETE, OR WHEN 10 YEARS OLD WHICHEVER IS LATER.<br><DA: N1-255-94-3> (N 20-10)   |
| 8820         | 53             | <b>FEDERAL STRUCTURES DESIGN FILES</b><br><br>Preliminary and presentation drawings and models of Federal structures and engineering projects. Includes design criteria, trade-off studies, and estimates of cost.<br><br>A. Files selected for architectural, historical, and technological significance.<br><br>1. Drawings.<br><br>2. Models.<br><br>B. Authorized projects.<br><br>C. Unauthorized Projects. | SEE PAGE NOTE BELOW<br><br>(N 18-10)<br><br>HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL<br><br>HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL<br><br>HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL<br><br>HANDLE AS PERMANENT<br>PENDING RETENTION APPROVAL<br><br>HANDLE AS PERMANENT |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OF RECORD SERIES   | RETENTION<br><Authority>  |
|-------|------|--|---|
|       |      | <p>D. Drawings/Specifications — Active/On-Going Facilities.<br/>Files consist of drawings, specifications, copies of experimental, preliminary, final drawings, and calculations for C of F construction.</p> <p>1. Original drawings/specifications and calculations.</p> <p>2. Voided drawings.<br/>These files consist of original voided drawing obsolete, cancelled, replaced or modified) that have been replaced by redrawn or revised sheets for facilities, systems, and equipment.</p> <p>(a) Hard copy drawing.</p> <p>(b) Microfilm copy.</p> <p>3. Historical drawings.<br/>Records in this series consist of the above 2 categories but are considered unique and have some historical importance.</p> <p>4. Silver halide aperture cards of original drawings and/or microfilm of specifications.</p> <p>5. All other office/copies of the above records.</p> | <p>PENDING RETENTION APPROVAL</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION APPROVAL</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION APPROVAL</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION APPROVAL</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION APPROVAL</p> |
| 8820  | 54   | <p><b>C of F CONSTRUCTION/DESIGN FILES - CORP OF ENGINEER (KSC ONLY)</b></p> <p>Records in this "CLOSED" series of records date from 1955 to 1970 and consist of Corp of Engineer Invitation for Bid files which are not maintained elsewhere at KSC. At the time of creation the NASA Procurement Office did not originate these files.<br/>NOTE: This is a CLOSED series of records. Current accumulation on-hand 75 cubic ft.</p>   | <p>SEE PAGE NOTE BELOW</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION APPROVAL</p>  |
| 8820  | 55   | <p><b>C of F PROJECTS FINAL REPORTS</b></p> <p>Records in this series includes final reports for:</p> <ul style="list-style-type: none"> <li>* Completed Projects</li> <li>* Cancelled or Terminated Projects</li> <li>* Suspended Projects</li> </ul>   | <p>SEE PAGE NOTE BELOW</p> <p>HANDLE AS PERMANENT<br/>PENDING RETENTION APPROVAL</p>  |

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# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OF RECORD SERIES   | RETENTION<br><Authority>   |
|-------|------|--|--|
|       |      |  |  |
| 8821  |      | <b>General</b>   | Contact Center Records Mgr.  |
| 8822  |      | <b>Criteria and Standards</b>  | Contact Center Records Mgr.  |
| 8823  |      | <b>Design and Engineering</b>  | Contact Center Records Mgr.  |
| 8824  |      | <b>Cost Estimation</b>   | Contact Center Records Mgr.  |
| 8825  |      | <b>Inspection, Supervision, and Acceptance</b>   | Contact Center Records Mgr.  |
| 8826  |      | <b>Major Construction</b>  | Contact Center Records Mgr.  |
| 8827  |      | <b>Minor Construction</b>  | Contact Center Records Mgr.  |
| 8828  |      | <b>Alterations and Repairs</b>   | Contact Center Records Mgr.  |
| 8830  |      | <b>Maintenance, Repair, and Operation of Facilities</b>  | (see below)  |
| 8830  | 56   | <b>REPAIR AND UTILITY FILES</b><br><br>A. <u>REPAIR AND UTILITY WORK ORDERS</u><br>Requests for repairs and orders, including correspondence, drawings, worksheets, standing work orders, and all related materials.<br><br>1. Office of primary responsibility.<br><br>2. All other offices/copies (EXCLUDING fiscal).<br><br>B. <u>MAINTENANCE RECORDS</u><br><br>1. Documents showing maintenance performed and required on systems and plants, including Preventive Maintenance Instructions (PMI) and Preventive Maintenance Action Requests (PMAR).<br><br>(a) Paper.<br><br>(b) Database.<br><br>2. General Facility Records (WSTF ONLY)<br>Records contained in this series consists of maintenance, repair, and documentation on power supply, water, gas, cryogenics, and other related services for the support of the test stand facility. Included are general maintenance records and other bills related to these facilities. | DESTROY WHEN 3 YEARS OLD.<br><DA: N1-255-94-3> (N 18-16)<br><br>DESTROY ON COMPLETION OF WORK.<br><DA: N1-255-94-3><br><br>DESTROY WHEN 3 YEARS OLD.<br><DA: N1-255-94-3> (N 18-14)<br><br>DELETE WHEN NO LONGER NEEDED.<br><DA: N1-255-94-3><br><br>DESTROY RECORDS WHEN 3 YEARS OLD, OR WHEN NO LONGER NEEDED, WHICHEVER IS SOONER.<br><DA: N1-255-90-4> |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|--|--|
|              |             | C. <u>UTILITY OPERATING LOG</u><br><br>Logs showing operations of utilities including temperature, humidity, pressure, and other such readings.  | DESTROY WHEN 3 YEARS OLD OR WHEN NO LONGER NEEDED, WHICHEVER IS SOONER.<br><DA: N1-255-94-3> (N 18-15)   |
|              |             |  |  |
| 8831         |             | <b>General</b>   | Contact Center Records Mgr.  |
| 8832         |             | <b>Criteria and Standards</b>  | Contact Center Records Mgr.  |
| 8833         |             | <b>Inspections</b>   | Contact Center Records Mgr.  |
| 8834         |             | <b>Structure and Equipment</b>   | Contact Center Records Mgr.  |
| 8835         |             | <b>Grounds and Appurtenances</b>   | Contact Center Records Mgr.  |
| 8836         |             | <b>Utility Systems</b>   | Contact Center Records Mgr.  |
| 8837         |             | <b>Refuse Collections and Disposal</b>   | Contact Center Records Mgr.  |
| 8838         |             | <b>Fire Protection and Fire Fighting</b>   | Contact Center Records Mgr.  |
| 8839         |             | <b>Plant Support Services</b>  | Contact Center Records Mgr.  |
| 8850         |             | <b>Logistics</b>   | Contact Center Records Mgr.  |
| 8900         |             | <b>Program Medical Support</b>   | (see below)  |
|              |             |  |  |
|              |             |  |  |
| 8900         | 57          | <b>ASTRONAUT MEDICAL REPORTS/RECORDS</b><br><br>Health and medical case histories, and physical and environmental records, biomedical data pertaining to NASA astronauts, including space flight (mission) data, i.e., astronaut medical testing results, flight and ground-based data collected from astronauts and civilians including procedures, correspondence, log books, strip charts, etc.<br><br>NOTE: Medical records for the astronauts are kept all together, ground medical/routine as well as space flight medical This information is maintained by astronaut name in one complete medical history case file. | * PERMANENT *<br>RETIRE RECORDS TO FRC WHEN ASTRONAUT IS SEPARATED FROM THE PROGRAM/AGENCY.<br>TRANSFER TO NARA WHEN 30 YEARS OLD.<br><DA: N1-255-94-3> (N 11-4c)  |
|              |             |  |  |
| 8900         | 58          | <b>MEDICAL RECORDS - TEST SUBJECTS</b><br><br>Records in this series consist of medical records of test subjects under contract to NASA which include documentation of physical exams, diagnosis, treatment, and tests given in order for the individual to participate as a "test" subject in R&D Project medical tests.  | DESTROY 75 YEARS AFTER BIRTH DATE (DOB), OR 60 YEARS AFTER DATE OF EARLIEST DOCUMENT IN THE FOLDER IF DOB CANNOT BE ASCERTAINED, OR 30 YEARS AFTER CONTRACT HAS BEEN COMPLETED/TERMINATED WHICHEVER IS LATER.<br><DA: N1-255-94-3> |
|              |             |  |  |
| 8910         |             | <b>Care and Use of Animals</b>   | Contact Center Records Mgr.  |

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## PROGRAM MANAGEMENT RECORDS

## SCHEDULE 8 (AFS 8000-8999)

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|--------------|-------------|---|--|
|              |             |   |  |
|              |             |   |  |
|              |             |   |  |
|              |             |   |  |
|              |             | <b>END OF SCHEDULE</b>  |  |
|              |             |   |  |
|              |             |   |  |
|              |             |   |  |
|              |             |   |  |
|              |             |   |  |

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## **NASA RECORDS RETENTION SCHEDULE 9**

### **FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS**

This records schedule is one of a series of schedules approved by the Archivist of the United States, which furnish authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers/installations or offices. This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

#### **FINANCIAL MANAGEMENT**

The records described in Schedule 9 pertain to the management and operation of NASA Accountable officer's accounts including records under the cognizance of the General Accounting Office (GAO). These records relate to documentation concerned with accounting for, availability, and status of public funds. There are several types of accountable officers' returns and related records, such as: (a) the collecting officer, who receives monies owed to the Federal Government and ensures that it is credited to the proper account; (b) the disbursing officer who is responsible for providing documentation to GAO since he accomplishes the actual payment of public monies to proper Federal creditors; and, (c) the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule.

Disbursements for most civilian Government agencies are made by the Chief Disbursing Officer of the Treasury, who heads the Division of Disbursement of the Bureau of Government Financial Operations within the Treasury Department. Since July 1949, disbursements have been made for most agencies on the basis of certified schedules, with the detailed vouchers transferred to GAO from the agency or held in agency space if site audit was involved. This procedure was extended and confirmed by GAO General Regulations, No. 115 issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Forms 1166 and 1167) for use by all agencies effective July 1, 1952, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer.

This schedule includes records held for on-site audit by GAO, as described in item 1a below. Under on-site audit, vouchers, contracts, schedules, statements of transactions and accountability and other related supporting documents are retained in agency space for GAO auditors.

### **INSPECTOR GENERAL RECORDS - SEE NEXT PAGE**



## **NASA RECORDS RETENTION SCHEDULE 9**

### **INSPECTOR GENERAL**

Records in this series monitor agency program and operations to prevent and reduce waste and fraud and to improve agency management. The Inspector General Act of 1978, as amended, and other legislation established an Office of Inspector General (OIG) in selected Government agencies. An OIG conducts and supervises audits and investigations; recommends policies to promote economy, efficiency, and effectiveness and to prevent fraud and abuse; and reports problems, deficiencies and progress to the agency head. OIGs must submit reports to the Congress.

This schedule covers the two major series of disposal investigative, audit and related records created or maintained by an OIG. Indexes to these files are covered by NASA Records Schedule 10 - Records Common to Most Offices. Correspondence or subject files, policy files, publications, reports to Congress, and any other records not specifically described in this schedule must be scheduled through the installation records manager. This schedule does not authorize disposal of investigative case files for cases that result in national media attention, Congressional investigation, or substantive changes in agency policy or procedures. Such files must be scheduled by submission of a NASA Form 1418.

Records described in this schedule are authorized for disposal in both hard copy and electronic forms.



# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

## SCHEDULE 9 (AFS 9000-9999)

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| <u>AFS #</u>     | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|------------------|-------------|--|--|
| <b>9000-9799</b> |             | <b>FINANCIAL MANAGEMENT</b>  | (see below)  |
|                  | <b>0.1</b>  | <b>ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES</b><br><br><p>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.</p> <p>This disposition applies to electronic copies of all items covered under Disposition Job N1-255-94-2 in the NASA Records Retention Schedule 9, with the following exceptions:<br/> -- Item 2 (Agency Budget Request Files)</p> <p>In addition, this disposition does not apply to any item already covered by the General Records Schedules.</p> <p>A. Electronic copies created on electronic mail and word processing systems that have no further administrative value after recordkeeping copy is made.</p> <p>B. Electronic copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p> | <p>DELETE AFTER RECORDKEEPING COPY HAS BEEN PRODUCED AND DISSEMINATION, REVISION, OR UPDATING IS COMPLETED.<br/> &lt;DA: N9-255-00-05&gt;</p> <p>DELETE WHEN DISSEMINATION, REVISION OR UPDATING IS COMPLETED.<br/> &lt;DA: N9-255-00-05&gt;</p> |
| <b>9000</b>      |             | <b>Principles and General Policies</b>   | (see below)  |
| 9000             | <b>1</b>    | <b>ACCOUNTABLE OFFICERS' RETURNS</b><br><br><p><b>NOTE:</b> Accounts and supporting documents pertaining to American Indians are not authorized for disposal. These records should be retired under a separate accession to the Federal Records Center. The SF 135 retiring these records should be marked "Records described pertain to American Indians - Indefinite Freeze."</p> <p>Memorandum copies of statement of transactions, all supporting voucher schedules, documents and related papers not otherwise provided for in this schedule. Records in these series can be, but are not limited to: MIPR, Military Inter-Departmental Purchase Requests; Project Orders; MOU's, Memorandum of Understanding; Interagency agreements; incoming/outgoing reimbursable public/private agreements; etc. These records are exclusive of freight records covered by Schedule 6, and Payroll records covered by Schedule 3.</p>  |  |

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# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

## SCHEDULE 9 (AFS 9000-9999)

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|--------------|-------------|---|--|
|              |             | <p>A. Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transactions, money received and money paid out or deposited in the course of operating the agency. All copies <u>except</u> the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule.</p> <p>Site audit records include, but are not limited to, the Standards and Optional Forms listed. Also included are equivalent agency forms which document the basic financial transaction as described above.</p> <p>SF 215 Deposit Ticket<br/> SF 224 Statement of Transactions<br/> SF 1012 Travel Voucher<br/> SF 1034 Public Voucher for Purchases and Services Other Than Personal<br/> SF 1036 Statement of Certificate and Award<br/> SF 1038 Advance of Funds Application and Account<br/> SF 1047 Public Voucher for Refunds<br/> SF 1069 Voucher for Allowance at Foreign Posts of Duty<br/> SF 1080 Voucher for Transfer Between Appropriations and/or Funds<br/> SF 1081 Voucher and Schedule of Withdrawals and Credits<br/> SF 1096 Schedule of Voucher Deductions<br/> SF 1097 Voucher and Schedule to Effect Correction of Errors<br/> SF 1098 Schedule of Canceled Checks<br/> SF 1113 Public Voucher for Transportation Charges<br/> SF 1129 Reimbursement Voucher<br/> SF 1143 Advertising Order<br/> SF 1145 Voucher for Payment Under Federal Tort Claims Act<br/> SF 1154 Public Voucher for Unpaid compensation Due a Deceased Civilian Employee<br/> SF 1156 Public Voucher for Fees and Mileage<br/> SF 1164 Claim for Reimbursement for Expenditures on Official Business</p> | <p>DESTROY 6 YEARS AND 3 MONTHS AFTER PERIOD COVERED BY ACCOUNT.<br/> [GRS 6-1(a)] (N 2-1)</p> |
|              |             | <p>SF 1166 Voucher and Schedule of Payments<br/> SF 1185 Schedule of Undeliverable Checks for Credit to</p>   |  |

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# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

## SCHEDULE 9 (AFS 9000-9999)

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|--------------|-------------|---|---|
|              |             | <p>Government Agencies</p> <p>SF 1218 Statement of Accountability (Foreign Service Account)</p> <p>SF 1219 Statement of Accountability</p> <p>SF 1220 Statement of Transactions According to Appropriation, Funds, and Receipt Accounts</p> <p>SF 1221 Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)</p> <p>OF 1114 Bill of Collection</p> <p>OF 1114A Official Receipt</p> <p>OF 1114B Collection Voucher</p> <p>B. Memorandum copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, EXCLUDING freight records covered by Schedule 6, and payroll records covered by Schedule 3.</p>                                  | DESTROY WHEN 1 YEAR OLD.<br>[GRS 6-1(b)]  |
| 9000         | 2           | <p><b>AGENCY BUDGET REQUEST FILES</b></p> <p>Records in this file series consists of budget material requested via OMB Circular A-11, including material required by the President's Call for the budget. Records include, but are not limited to, letters, forms, exhibits (submitted electronically), and any other related finding aids or documentation associated with this submission, i.e., OMB, Presidents Budget, Justification Support - Congressional Budget Support, etc.</p> <p>A. Original record set maintained at NASA Headquarters by Code B (This set starts October 1, 1958 and continues to Present)</p> <p>B. Installation working materials/background files and documentation developed by other organizational units and as submitted to the Comptrollers Office.</p> <p>C. All other offices/copies.</p> | <p>* PERMANENT *</p> <p>TRANSFER TO NARA WHEN 35 YEARS OLD.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>RETIRE TO FRC WHEN 2 YEARS OLD. DESTROY WHEN 30 YEARS OLD.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY WHEN SUPERCEDED, NO LONGER NEEDED, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-2&gt;</p> |
| 9000         | 3           | <p><b>NASA ACCOUNTING AND FINANCIAL INFORMATION SYSTEMS (NASIS)</b></p> <p>This is an agency-wide reporting system which resides at NASA</p>  |   |

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# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

## SCHEDULE 9 (AFS 9000-9999)

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| <u>AFS #</u> | <u>ITEM</u> | <b>SUBJECT AREA OR RECORD TITLE<br/>DESCRIPTION OF RECORD SERIES</b>   | <b>RETENTION</b><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|--|--|
|              |             | Headquarters and conforms to GAO/Treasury standards for summary general ledger format/information. This is an on-line integrated system which will be distributed to all NASA installations.<br><br>A. <u>OFFICE OF PRIMARY RESPONSIBILITY.</u><br><br>B. <u>INSTALLATIONS.</u><br><br>C. <u>ALL OTHER OFFICES/COPIES.</u>   | DELETE/DESTROY WHEN OBSOLETE OR SUPERSEDED OR WHEN 5 YEARS OLD.<br><DA: N1-255-94-2><br><br>USE DISPOSITION IN A. ABOVE.<br><DA: N1-255-94-2><br><br>DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD.<br><DA: N1-255-94-2>   |
| 9000         | 4           | <b>R&amp;D PROGRAM/PROJECT STATUS REPORTS (PSR)<br/>COST/SCHEDULES</b><br><br>Documents relating to cost projections for research and development projects, including information about program objectives in terms of projects, tasks, status, and time phasing for development, and funds required. These files include schedules and directly related forecast and actual costs.<br><br>A. <u>INSTALLATIONS</u> (Level 2 Manager)<br><br>B. <u>SECRETARIAT OFFICE</u> (NASA Headquarters; Comptrollers Office)<br><br>C. <u>ALL OTHER OFFICES/COPIES.</u> | RETIRE TO FRC 1 YEAR AFTER COMPLETION OF THE PROJECT. DESTROY 10 YEARS AFTER COMPLETION OF PROJECT.<br><DA: N1-255-94-2> (N 24-3)<br><br>* PERMANENT *<br>RETIRE TO FRC WHEN 4 YEARS OLD. TRANSFER TO NARA WHEN 30 YEARS OLD.<br><DA: N1-255-94-2><br><br>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 5 YEARS OLD WHICHEVER IS LATER.<br><DA: N1-255-94-2> |
| 9010         |             | <b>Introduction to the NASA Financial Management Manual</b>  | Contact Center Records Mgr.  |
| 9020         |             | <b>Definitions of Financial Management Terms</b>   | Contact Center Records Mgr.  |
| 9030         |             | <b>Criteria for Recording and Reporting Commitments</b>  | Contact Center Records Mgr.  |
| 9040         |             | <b>Criteria for Recording and Reporting Obligations</b>  | Contact Center Records Mgr.  |

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# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

## SCHEDULE 9 (AFS 9000-9999)

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| <u>AFS #</u> | <u>ITEM</u> | <b>SUBJECT AREA OR RECORD TITLE</b><br><b><u>DESCRIPTION OF RECORD SERIES</u></b>  | <b>RETENTION</b><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|--|---|
| 9050         |             | <b>Cash Management — Administrative Control of Appropriations and Funds</b>  | (see below)   |
|              |             |  |   |
|              |             |  |   |
| 9050         | 5           | <b>FUND FILES</b><br><br>A. <u>GENERAL</u><br><br>Records relating to availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit, other than those records covered by Item 1 of this schedule.<br><br>B. <u>SPECIAL</u><br><br>Records relating to monies obtained to pay for expenses incurred in conjunction with special guest, or monies from sponsors of programs that could not be returned. Includes the "Administrator's Fund", "Activity Fund", "Special Fund", and all other non-appropriated fund activities.   | DESTROY WHEN 3 YEARS OLD.<br>[GRS 6-4] (N 2-5, N 1-41)<br><br>RETIRE TO FRC 1 YEAR AFTER THE CLOSE OF THE FISCAL YEAR TO WHICH THE RECORDS PERTAIN. DESTROY 6 YEARS AFTER THE CLOSE OF THE FISCAL YEAR TO WHICH RECORDS PERTAIN.<br><DA: N1-255-94-2>                       |
|              |             |  |   |
| 9050         | 6           | <b>NASA EXCHANGE - PERSONNEL, PAYROLL, AND FINANCIAL RECORDS</b><br><br>A. <u>GENERAL</u><br>Records in this series consists of register receipts, bank deposit slips, register tapes, cancelled checks, bank statements, ledgers, etc.<br><br>B. <u>CORRESPONDENCE FILES - GENERAL</u><br>Files include advisory notices such as merchandise and sundry notices, records documenting overall administration of the exchange, general correspondence, customer complaints, security records and reports pertaining to the exchange.<br><br>C. <u>STOCK FILES / GOODS RECEIVED</u><br><br>1. <u>GOODS</u> : Records relating to the receipt of merchandise, including copies of reports of goods received, shipping documents, tracer inquiries, merchandise follow-up requests, and other documents related to shipments/follow-up of merchandise.<br><br>2. <u>STOCK</u> : Records used by management for the control and procurement of merchandise at warehouse and on the sales floor, | RETAIN ON-SITE AT RESPECTIVE INSTALLATION. DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-2><br><br>RETAIN ON-SITE. DESTROY WHEN 4 YEARS OLD.<br><DA: N1-255-94-2><br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-2><br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-2> |

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**SCHEDULE 9**  
**(AFS 9000-9999)**

| AFS # | ITEM | SUBJECT AREA OR RECORD TITLE<br>DESCRIPTION OF RECORD SERIES   | RETENTION<br><Authority>   |
|-------|------|--|--|
|       | PASR | <p>including unit merchandise records, stock record cards, replenishment cards, recorder records, and vendor records.</p> <p>D. <u>EXCHANGE RECORDS ON INDIVIDUALS - NASA 10 XROI</u></p> <p>1. Records contained in this system consist of present and former employees of, and applicants for employment with, NASA Exchanges, Recreational Associations, and Employees' Clubs at NASA installations. Individuals with active loans or charge accounts at one or more of the several organizations. Records contain Exchange employees' personnel and payroll records, including injury claims, unemployment claims, biographical data, performance evaluations, annual and sick leave records, and all other employee records. Credit records on NASA employees with active accounts.</p> <p>2. General meeting minutes of activities associated with the Employees Exchange.</p>   | <p>DESTROY WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY 6 MONTHS AFTER ELECTION OR INITIATION OF NEW COMMITTEE MEMBERSHIP OR WHEN 3 YEARS OLD, WHICHEVER OCCURS FIRST.<br/>&lt;DA: N1-255-94-2&gt;</p>   |
|       | PASR | <p>E. <u>JOHNSON SPACE CENTER (JSC) EXCHANGE ACTIVITIES - NASA 72 XOPR</u></p> <p>Records in this system consist of employees and past employees of the JSC Exchange Operations, applicants under the JSC Exchange Scholarship Program, and JSC employees or JSC contractor employees participating in sports or special activities sponsored by the Exchange. Records include a variety of data relating to personnel actions and determinations made about an individual while employed by the NASA JSC Exchange. These records contain information about an individual relating to birth date, social security number, home address, phone number, marital status, references, veteran preference, and other information relating to the status of the individual. Scholarship information is supplied by individuals who have applied and includes data on education, financial background, and other related information.</p> | <p>EMPLOYEE RECORDS OF JSC EXCHANGE OPERATIONS, PERSONNEL RECORDS ARE RETAINED INDEFINITELY IN AGENCY SPACE TO SATISFY PAYROLL, REEMPLOYMENT, UNEMPLOYMENT COMPENSATION, TAX, AND EMPLOYEE RETIREMENT PURPOSES. FOR SUCCESSFUL APPLICANTS UNDER THE JSC EXCHANGE SCHOLARSHIP PROGRAM, RECORDS ARE MAINTAINED UNTIL COMPLETION OF AWARDED SCHOLARSHIP AND ARE THEN DESTROYED. RECORDS PERTAINING TO UNSUCCESSFUL APPLICANTS ARE RETURNED TO THE INDIVIDUAL. FOR PARTICIPANTS IN SOCIAL OR SPORTS ACTIVITIES, RECORDS ARE MAINTAINED FOR STATED PARTICIPATION PERIOD AND ARE THEN DESTROYED.</p> |

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# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

## SCHEDULE 9 (AFS 9000-9999)

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|---|--|
|              |             |   | RECORDS CANNOT BE RETIRED TO AN FRC.<br><DA: N1-255-94-2>  |
|              |             |   |  |
| 9060         |             | <b>Accrual Accounting</b>   | Contact Center Records Mgr.  |
| 9080         |             | <b>User Charges and Rental Charges</b>  | Contact Center Records Mgr.  |
| 9090         |             | <b>Guidelines Applicable to Reimbursable Agreements</b>   | (see below)  |
| 9090         | 7           | <b>REIMBURSABLE AGREEMENTS — FINANCIAL</b><br><br>A. <u>GUIDELINES APPLICABLE TO REIMBURSABLE AGREEMENTS</u><br>Reports, correspondence, working files and other documentation required on file to support reimbursable activities.<br><br>B. <u>BENEFITOR FILES</u><br>Includes original authorities for reimbursable funding for resident agencies.<br><br>C. <u>OCCUPANCY (SSC ONLY)</u><br>Includes staffing levels, space allocation, utility costs, burden analyses and all pertinent information used in occupancy rate development at SSC. Records include occupancy rate development data; quarterly detail reports; and, SSC Personnel Strength Reports (including historical data).<br><br>D. <u>WORK PERFORMANCE AGREEMENTS (JSC ONLY)</u><br>Records include agreements between JSC and other government or non-government agencies (the customer) whereby JSC performs work prescribed in the agreement and JSC is reimbursed for the cost of the work by the customer. These agreements are usually 1 to 3 years in duration.<br><br>1. Office of primary responsibility.<br><br>2. All other offices/copies.<br><br>E. <u>ALL OTHER OFFICES/COPIES OF THE ABOVE RECORDS OTHER THAN THE OPR.</u> | RETAIN ON-SITE UNTIL REFERENCE VALUE CEASES; THEN DESTROY.<br><DA: N1-255-94-2><br><br>DESTROY 6 YEARS AND 3 MONTHS AFTER FINAL PAYMENT.<br><DA: N1-255-94-2><br><br>THESE RECORDS ARE UNIQUE TO SSC AND WILL BE MAINTAINED IN SSC SPACE FOR 10 YEARS. RETIRE TO FRC WHEN 10 YEARS OLD. DESTROY WHEN 20 YEARS OLD.<br><DA: N1-255-94-2><br><br>TRANSFER TO FRC WHEN 10 YEARS OLD. DESTROY WHEN 20 YEARS OLD.<br><DA: N1-255-94-2><br><br>DESTROY WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br><DA: N1-255-94-2><br><br>DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER. |

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# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

## SCHEDULE 9 (AFS 9000-9999)

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|--------------|-------------|---|---|
|              |             |   | <DA: N1-255-94-2>   |
|              |             |   |   |
| <b>9100</b>  |             | <b>Agencywide Coding Structure (AWCS)</b>   | (see below)   |
|              |             |   |   |
|              |             |   |   |
| 9100         | <b>8</b>    | <b>APPORTIONMENT SCHEDULES - AGENCY WIDE CODING STRUCTURE</b><br><i>ALSO SEE SCHEDULE 7</i><br><br>A. Apportionment and reapportionment schedules proposing quarterly obligations under each authorized appropriation, i.e., Research and Development; Space Flight and Data Communications; Construction of Facilities; Research and Program Management; and, the Inspector General.<br><br>1. <u>HEADQUARTERS (CODE B ONLY)</u><br>(These are records sent to OMB and Treasury which show the division of funding by project/program.)<br><br>2. <u>FIELD INSTALLATIONS</u><br><br>B. Periodic reports on the status of accounts/apportionments.<br><i>(THIS IS THE SAME AS ITEM 21e, SCHEDULE 7)</i><br><br>1. Annual report (end of fiscal year).<br><br>2. All other copies/reports. | RETIRE TO FRC 3 YEARS AFTER FISCAL YEAR, 5 YEARS FOR NO YEAR APPROPRIATIONS. DESTROY WHEN NO LONGER NEEDED OR WHEN 20 YEARS OLD, WHICHEVER IS SOONER.<br><DA: N1-255-94-2> (N 7-2)<br><br>DESTROY 2 YEARS AFTER THE CLOSE OF THE FISCAL YEAR.<br>[GRS 5-4]<br><br>DESTROY WHEN 5 YEARS OLD.<br>[GRS 5-3a]<br><br>DESTROY 3 YEARS AFTER END OF THE FISCAL YEAR IN WHICH CREATED.<br>[GRS 5-3b] |
|              |             |   |   |
| <b>9110</b>  |             | <b>Reimbursable Agreement Number System</b>   | Contact Center Records Mgr.   |
| <b>9120</b>  |             | <b>Coding Structure</b>   | Contact Center Records Mgr.   |
| <b>9130</b>  |             | <b>AWCS Automated System or UPN (Unique Project Number )</b>  | Contact Center Records Mgr.   |
| <b>9200</b>  |             | <b>Accounting</b>   | (see below)   |
| 9200         | <b>9</b>    | <b>ACCOUNTING RECORDS</b>   |   |

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# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

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|--------------|-------------|--|---|
|              |             | <p>A. <u>EXPENDITURES ACCOUNTING GENERAL CORRESPONDENCE AND SUBJECT FILES</u><br/>Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.</p> <p>B. <u>COST ACCOUNTING REPORTS</u><br/>Copies in units receiving reports; in reporting units; and related working papers.</p> <p>C. <u>COST REPORT DATA FILES</u><br/>Ledgers, forms, and electronic records used to accumulate data for use in cost reports.</p> <p>1. Ledgers and forms.</p> <p>2. Automated records.</p> <p>(a) Detail cards.</p> <p>(b) Summary cards.</p> <p>(c) Tabulations.</p> <p>D. <u>COST REDUCTION</u><br/>Reports, correspondence, working papers, and other supporting documentation required to be on file.</p> <p>1. Headquarters.</p> <p>2. Field Installations.</p> | <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 7-1]</p> <p>DESTROY WHEN 3 YEARS OLD.<br/>[GRS 8-6a/b] (N 5-5)</p> <p>DESTROY WHEN 3 YEARS OLD.<br/>[GRS 8-7a] (N 5-6)</p> <p>DESTROY WHEN 6 MONTHS OLD.<br/>[GRS 8-7b(1)]</p> <p>DESTROY WHEN 6 MONTHS OLD.<br/>[GRS 8-7b(2)]</p> <p>DESTROY WHEN 1 YEAR OLD.<br/>[GRS 8-7b(3)]</p> <p>RETIRE TO FRC 4 YEARS AFTER<br/>CLOSE OF FISCAL YEAR IN WHICH<br/>RECORDS WERE CREATED.<br/>DESTROY 6 YEARS AFTER SUBJECT<br/>FISCAL YEAR.<br/>&lt;DA: N1-255-94-2&gt; (N 1-18)</p> <p>RETIRE TO FRC 3 YEARS AFTER<br/>CLOSE OF FISCAL YEAR IN WHICH<br/>RECORDS WERE CREATED.<br/>DESTROY 5 YEARS AFTER SUBJECT<br/>FISCAL YEAR.<br/>&lt;DA: N1-255-94-2&gt;</p> |

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# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

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|--------------|-------------|--|--|
| <b>9210</b>  |             | <b>Accounting Principles</b>   | (see below)  |
| 9210         | <b>10</b>   | <b>SIGNATURE AUTHORITY FILES</b><br><br>Records consist of signature authorities for miscellaneous administrative records which include, but are not limited to, Diner's Club authorizations; reports of mail; authority for specified employees to certify funds, etc.  | DESTROY UPON SEPARATION, TRANSFER, OR TERMINATION OF AUTHORIZED EMPLOYEE OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br><DA: N1-255-94-2>  |
| <b>9220</b>  |             | <b>General Ledger Accounting</b>   | (see below)  |
| 9220         | <b>11</b>   | <b>GENERAL LEDGER — ACCOUNTING</b><br><br>A. <u>GENERAL ACCOUNTING LEDGERS</u><br>Ledgers showing debit and credit entries, and reflecting expenditures in summary (balanced receipts).<br><br>B. <u>TRIAL BALANCE LEDGERS</u><br>Monthly consolidated financial reports supported by analyses reports at the appropriation, fund, or other level, covering all NASA assets, liabilities, funds, equity, revenues, and costs. The consolidated agency-wide report is based on and includes the trial balance and related reports submitted by each NASA installation.<br><br>1. ORIGINAL RECORDS (CODE B ONLY)<br><br>(a) Annual September Report.<br><br>(b) Monthly reports (other than September).<br><br>2. All other offices/copies of the above reports (including copies maintained at NASA installations). | DESTROY 6 YEARS AND 3 MONTHS AFTER CLOSE OF THE FISCAL YEAR INVOLVED.<br>[GRS 7-2] (N 3-1)<br><br>RETIRE TO FRC WHEN NO LONGER NEEDED FOR REFERENCE OR WHEN 5 YEARS OLD. DESTROY WHEN 10 YEARS OLD.<br><DA: N1-255-94-2> (N 3-6)<br><br>RETIRE TO FRC 2 YEARS AFTER FISCAL YEAR INVOLVED. DESTROY 10 YEARS AFTER SUBJECT FISCAL YEAR.<br><DA: N1-255-94-2><br><br>DESTROY AS SOON AS ACTIVE REFERENCE VALUE CEASES OR WHEN 3 YEARS OLD WHICHEVER IS SOONER.<br><DA: N1-255-94-2> |
| <b>9230</b>  |             | <b>Allotment Accounting</b>  | (see below)  |

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|--------------|-------------|---|--|
| 9230         | 12          | <b>ALLOTMENT/APPROPRIATION FILES</b><br><br>Records showing status of obligations and allotments under each authorized appropriations.  | DESTROY 6 YEARS AND 3 MONTHS AFTER THE CLOSE OF THE FISCAL YEAR INVOLVED.<br>[GRS 7-3] (N 3-2) |
| 9240         |             | <b>Cost Accounting</b>  | Contact Center Records Mgr.  |
| 9250         |             | <b>Property Accounting</b>  | Contact Center Records Mgr.  |
| 9260         |             | <b>Revenue Accounting</b>   | Contact Center Records Mgr.  |
| 9270         |             | <b>Full Cost Accounting</b>   | Contact Center Records Mgr.  |
| 9280         |             | <b>Expenditure Accounting</b>   | (see below)  |
| 9280         | 13          | <b>EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES</b><br><br>Records used in posting and control media, subsidiary to the general and allotment ledgers (Items 9 and 11), and not covered elsewhere in this schedule.<br><br>A. <u>ORIGINAL RECORDS.</u><br><br>B. <u>ALL OTHER COIPES.</u>   | DESTROY WHEN 3 YEARS OLD.<br>[GRS 7-4a] (N 3-3)<br><br>DESTROY WHEN 2 YEARS OLD.<br>[GRS 7-4b] |
| 9290         |             | <b>Miscellaneous Accounting</b>   | Contact Center Records Mgr.  |
| 9300         |             | <b>Financial Reports</b>  | (see below)  |
| 9300         | 14          | <b>FINANCIAL STATUS REPORTS</b><br><br>A. <u>MONTHLY CONSOLIDATED - AGENCY WIDE</u><br>This is a monthly consolidated agency wide financial report of commitments, obligations, costs, disbursements, and resource authorizations, consisting of 11 volumes, organized generally by program activity. The following list of reports are considered a part of this series, but is not all inclusive:<br><br>Highlight Report; Balance of Payments Report; Medical Report; Expert and Consultant Report; SEDSA--Est. Distribution of Selected accounts.<br><br>1. HEADQUARTERS - OFFICIAL RECORD:<br><br>(a) Monthly issues of Volume 1, Summary of Data for Administrative Operations, Research and Development, and | RETIRE TO FRC AFTER THE CLOSE OF THE FISCAL YEAR TO WHICH THE RECORDS PERTAIN. DESTROY         |

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|--------------|-------------|---|--|
|              |             | <p>Construction of Facilities Funding; and Volume 6, Project and Program Year Summary by Program Office and by Installation.</p> <p>(b) Monthly issues of all other volumes of the report printed.</p> <p>2. All other copies of the reports in Program Offices, NASA Installations, or other offices.</p> <p><b>B. <u>CONTRACTS AND GRANTS REPORTS - STATUS</u></b><br/><b><i>SEE ALSO ITEM 19, SCHEDULE 7</i></b></p> <p>Records in this category consist of a consolidated agency wide report of financial and statistical data covering NASA contracts, grants, and intra-Governmental purchase requests.</p> <p>1. HEADQUARTERS - OFFICIAL RECORD:</p> <p>(a) Annual September Issue: (Following Formats)<br/>E- 3; E-5A; E- 7; E- 8; E- 9; E-10; E-11; E-12;<br/>E-16; E-17; E-26; E-27; E-28; E-29; E-31; E-34;<br/>E-34A; E-35; E-36-1; E-36-3; E-36-4; AND E-38.</p> <p>(b) Issues of formats listed in (a) above, other than September.</p> <p>2. All other copies of the reports in Program Offices, NASA Installations, or other offices.</p> | <p>WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-2&gt; (N 3-4)</p> <p>RETIRE TO FRC AFTER THE CLOSE OF THE FISCAL YEAR TO WHICH THE RECORDS PERTAIN. DESTROY 5 YEARS AFTER SUBJECT FISCAL YEAR.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY WHEN ACTIVE REFERENCE VALUE CEASES OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>RETIRE TO FRC 1 YEAR AFTER CLOSE OF FISCAL YEAR TO WHICH RECORDS PERTAIN. DESTROY 10 YEARS AFTER SUBJECT FISCAL YEAR.<br/>&lt;DA: N1-255-94-2&gt; (N 3-5, N 7-9)</p> <p>DESTROY MONTHLY ISSUES AFTER 90 DAYS; OTHER ISSUES AFTER THE CURRENT REPORT IS PRODUCED.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY WHEN ACTIVE REFERENCE VALUE CEASES OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-2&gt;</p> |
| <b>9310</b>  |             | <b>Agency Reports</b>   | Contact Center Records Mgr.  |
| <b>9320</b>  |             | <b>Center Program Reports</b>   | Contact Center Records Mgr.  |
| <b>9340</b>  |             | <b>Center Fiscal Activity Reports</b>   | Contact Center Records Mgr.  |

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|--------------|-------------|---|---|
| 9350         |             | <b>Center Functional Reports</b>  | Contact Center Records Mgr.   |
| 9360         |             | <b>Center Civilian Pay Reports</b>  | Contact Center Records Mgr.   |
| 9370         |             | <b>Center Miscellaneous Reports</b>   | Contact Center Records Mgr.   |
| 9380         |             | <b>Center Fiscal Year-End Accounting and Reporting Requirements</b>   | Contact Center Records Mgr.   |
| 9500         |             | <b>Contractor Financial Management Reporting</b>  | Contact Center Records Mgr.   |
| 9600         |             | <b>Fiscal Operations</b>  | (see below)   |
| 9600         | 15          | <b>CERTIFICATES OF SETTLEMENT FILES</b><br><br>Copies of certificates and settlement of accounts of accountable officers, statements of differences, and related records.<br><br>a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.<br><br>b. Certificates covering period settlements.<br><br>c. Schedules of certificates of settlement of claims settled by the General Accounting Office.  | DESTROY 2 YEARS AFTER DATE OF SETTLEMENT.<br>[GRS 6-3a] (N 2-3, N 2-4)<br><br>DESTROY WHEN SUBSEQUENT CERTIFICATES OF SETTLEMENTS ARE RECEIVED.<br>[GRS 6-3b]<br><br>DESTROY 2 YEARS AFTER DATE OF SETTLEMENT.<br><DA: N1-255-94-2> |
| 9620         |             | <b>Payroll, Leave, and Allowance</b>  | (see below)   |
| 9620         | 16          | <b>TAX FILES</b><br><br>a. <u>REPORTS OF WITHHELD TAXES</u><br>Reports of withheld Federal taxes, such as IRS Form W-3, with related papers, including reports relating to income and social security taxes, and state equivalents, maintained by agency or payroll processor.<br><br>b. <u>EXEMPTION FILES</u><br>Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms.<br><br>c. <u>RETURN FILES</u><br>Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, maintained by agency or payroll processor. | DESTROY WHEN 4 YEARS OLD.<br>[GRS 2-13c] (N 4-14)<br><br>DESTROY 4 YEARS AFTER FORM IS SUPERSEDED OR OBSOLETE OR UPON SEPARATION OF EMPLOYEE.<br>[GRS 2-13a] (N 4-12)<br><br>DESTROY WHEN 4 YEARS OLD.<br>[GRS 2-13b] (N 4-13)      |
| 9620         | 17          | <b>PAYROLL RECORDS</b>  |   |

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# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

## SCHEDULE 9 (AFS 9000-9999)

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|--------------|-------------|--|---|
|              |             | <p>A. <u>INDIVIDUAL ACCOUNTS</u><br/>Individual earning and service cards, such as Optional Form 1127 or equivalent. Includes payrolls when individual earning or pay cards are not prepared.<br/><b>NOTE:</b> If filed in Official Personnel Folder (OPF) OR in individual pay folder adjacent to the OPF, destroy with the OPF. (SEE SCHEDULE 3, ITEM 1) If <u>NOT</u> in or filed adjacent to the OPF, Destroy 56 years after the date of the last entry on the card.</p> <p>1. ELECTRONIC - Pay record for each employee as maintained in an electronic database. This database may be a stand-alone payroll system or part of a combined personnel/payroll system.</p> <p>2. NON-ELECTRONIC - Individual pay record containing pay data on each employee within an agency. This record may be in paper or microform, BUT NOT in machine readable form.</p> <p>b. <u>NON-CURRENT PAYROLL FILES</u><br/>Copy of non-current payroll data as maintained by payroll service bureaus in either microform or machine readable form.</p> <p>B. <u>CORRESPONDENCE FILES</u><br/>General correspondence files maintained by payroll units pertaining to payroll preparation and processing.</p> <p>C. <u>CONTROL FILES</u><br/>Registers, such as SF 1125, or its equivalent, payroll control registers.</p> <p>D. <u>PAYROLL FILES</u><br/>Memorandum copies of payrolls, check lists, and related certification sheets, such as SF 1013A, SF 1128A, or equivalents.</p> <p>1. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, with related papers.</p> <p>2. All other copies.</p> <p>(a) If earning record card is maintained.</p> | <p>UPDATE ELEMENTS AND/OR ENTIRE RECORD AS REQUIRED.<br/>[GRS 2-1a] (N 4-1)</p> <p>TRANSFER TO NATIONAL PERSONNEL RECORDS CENTER. DESTROY WHEN 56 YEARS OLD.<br/>[GRS 2-1b]</p> <p>DESTROY 15 YEARS AFTER CLOSE OF PAY YEAR IN WHICH GENERATED.<br/>[GRS 2-2]</p> <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 2-24]</p> <p>DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>[GRS 2-23a] (N 4-7)</p> <p>DESTROY WHEN FEDERAL RECORD CENTER RECEIVES SECOND SUBSEQUENT PAYROLL OR CHECKLIST COVERING THE SAME PAYROLL UNIT.<br/>[GRS 2-1,2] (N 4-6)</p> <p>DESTROY AFTER GAO AUDIT OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.</p> |

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# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

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|--------------|-------------|---|---|
|              |             | <p>(b) If earning record card is NOT maintained.</p> <p>E. <u>CHANGE FILES</u><br/>Payroll change slips, exclusive of those of the OPF, such as SF 1126.</p> <p>1. Copy subject to GAO audit.</p> <p>2. Disbursing officer copy used in preparing checks.</p> <p>3. All other copies.</p>   | <p>[GRS 2]</p> <p>TRANSFER TO NPRC, ST. LOUIS, MISSOURI, WHEN 3 YEARS OLD. DESTROY WHEN 10 YEARS OLD.<br/>[GRS 2]</p> <p>DESTROY WHEN RELATED PAY RECORDS ARE AUDITED BY GAO OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br/>[GRS 2-23a] (N 4-8)</p> <p>DESTROY AFTER PREPARATION OF CHECKS.<br/>[GRS 2-23]</p> <p>DESTROY 1 MONTH AFTER END OF RELATED PAY PERIOD.<br/>[GRS 2-23b]</p> |
| <b>9630</b>  |             | <b>Voucher Examination and Payment</b>  | (see below)   |
| 9630         | <b>18</b>   | <p><b>ACCOUNTING ADMINISTRATIVE FILES</b></p> <p>Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.</p> <p>a. Files used for workload and personnel management purposes.</p> <p>b. All other files.</p>   | <p>DESTROY WHEN 2 YEARS OLD.<br/>[GRS 6-5a] (N 2-6)</p> <p>DESTROY WHEN 3 YEARS OLD.<br/>[GRS 6-5b]</p>   |
| 9630         | <b>19</b>   | <p><b>NONCOMMERCIAL REIMBURSABLE TRAVEL/PASSENGER FILES</b></p> <p>Records and copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.</p> <p>A. Travel administrative office files.</p> | <p>DESTROY WHEN 6 YEARS OLD.<br/>[GRS 9-3a] (N 22-1, N 22-2)</p>  |

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# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

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|--------------|-------------|--|--|
|              |             | B. Obligation copies.  | DESTROY WHEN FUNDS ARE OBLIGATED.<br>[GRS 9-3b]  |
|              |             | C. All other office/copies.  | DESTROY WHEN NO LONGER NEEDED OR WHEN 3 YEARS OLD, WHICHEVER IS SOONER.<br><DA: N1-255-94-2>   |
|              |             | D. Unused ticket redemption forms, such as SF 1170, or other miscellaneous travel documentation.   | DESTROY 3 YEARS AFTER THE YEAR IN WHICH THE TRANSACTION IS COMPLETED.<br>[GRS 9-1e]  |
|              |             |  |  |
| 9640         |             | <b>Claims</b>  | Contact Center Records Mgr.  |
| 9645         |             | <b>Erroneous Payment of Salaries and Wages</b>   | Contact Center Records Mgr.  |
| 9650         |             | <b>Treasury/NASA Transactions and Relationships</b>  | Contact Center Records Mgr.  |
| 9660         |             | <b>Vital Records and Emergency Transactions</b>  | Contact Center Records Mgr.  |
| 9670         |             | <b>Payment for Transportation Services Procured Through the Department of Defense</b>  | Contact Center Records Mgr.  |
| 9700         |             | <b>NASA Travel Regulations</b>   | Contact Center Records Mgr.  |
| 9710         |             | <b>General Provisions</b>  | Contact Center Records Mgr.  |
| 9720         |             | <b>Travel Requests and Authorizations</b>  | Contact Center Records Mgr.  |
| 9730         |             | <b>Transportation and Related Expenses</b>   | (see below)  |
| 9730         | <b>20</b>   | <b>TRAVEL AND TRANSPORTATION FILES — GENERAL</b><br><br>a. Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation, and freight functions, not covered elsewhere in this schedule or Schedule 6.<br><br>b. Accountability records documenting the issue or receipt of accountable documents.<br><br>c. Credit card files and documentation show issuance by commercial organizations for reissue to agency personnel for their use while on official travel duty; receipts, registers, or other related documents. | DESTROY WHEN 2 YEARS OLD.<br>[GRS 9-4a]<br><br>DESTROY 1 YEAR AFTER ALL ENTRIES ARE CLEARED.<br>[GRS 9-4b]<br><br>DESTROY CREDIT CARDS AND RELATED PAPERS UPON RECEIPT OF NEW CREDIT CARDS.<br><DA: N1-255-94-2> |
|              |             |  |  |
| 9730         | <b>21</b>   | <b>PASSPORTS ISSUANCE/CONTROL FILES</b>  |  |

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# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

## SCHEDULE 9 (AFS 9000-9999)

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|--------------|-------------|---|--|
|              |             | <p><b>NOTE:</b> OFFICIAL PASSPORTS SHOULD BE RETURNED TO THE DEPARTMENT OF STATE UPON EXPIRATION OR UPON THE SEPARATION OF THE EMPLOYEE.</p> <p>A. <u>APPLICATION FILES</u><br/>Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations.</p> <p>B. <u>ANNUAL REPORTS CONCERNING OFFICIAL PASSPORTS</u><br/>Reports to the Department of State concerning the number of official passports issued and related matters.</p> <p>C. <u>PASSPORT REGISTERS</u><br/>Registers and lists of agency personnel who have official passports.</p> | <p>DESTROY WHEN 3 YEARS OLD OR UPON SEPARATION OF THE BEARER WHICHEVER IS SOONER.<br/>[GRS 9-5a]</p> <p>DESTROY WHEN 1 YEAR OLD.<br/>[GRS 9-5b]</p> <p>DESTROY WHEN SUPERSEDED OR OBSOLETE.<br/>[GRS 9-5c]</p> |
|              |             |   |  |
| 9731         |             | <b>Rental Vehicle Damage/Claims</b>   | Contact Center Records Mgr.  |
| 9740         |             | <b>Temporary Duty Travel</b>  | Contact Center Records Mgr.  |
| 9750         |             | <b>Actual Expense Travel</b>  | Contact Center Records Mgr.  |
| 9760         |             | <b>Change of Assignment to Permanent Duty Station</b>   | Contact Center Records Mgr.  |
| 9770         |             | <b>Evacuation and Adverse Conditions Travel</b>   | Contact Center Records Mgr.  |
| 9780         |             | <b>Allowable Expenses Connected With the Death of Employees and Deceased Dependents</b>   | Contact Center Records Mgr.  |
| 9790         |             | <b>Advances and Reimbursement Claims for Travel, Transportation, and Miscellaneous Expenses</b>   | Contact Center Records Mgr.  |
| 9791         |             | <b>Imprest Fund</b>   | (see below)  |
| 9791         | 22          | <p><b>IMPREST FUND</b></p> <p>Records in this series include but are not limited to the following types:</p> <p>Acknowledgement of responsibility forms for cashiers; Release of responsibility; Imprest Fund Alarm System; Request to Increase Imprest Fund Advance; and, Audit of Imprest Funds.</p>  | <p>DESTROY UPON SEPARATION, TRANSFER, OR TERMINATION OF AUTHORIZED EMPLOYEE, OR WHEN 5 YEARS OLD, WHICHEVER IS SOONER.<br/>&lt;DA: N1-255-94-2&gt;</p>   |
|              |             |   |  |
|              |             |   |  |
|              |             |   |  |

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**SCHEDULE 9**  
(AFS 9000-9999)

[illegible]

9-18



# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

## SCHEDULE 9 (AFS 9000-9999)

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|--------------|-------------|---|--|
|              |             | <p>financed by the agency, including contractors and other having a relationship with the agency. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.</p> <ol style="list-style-type: none"> <li>Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information which may prove useful in Inspector General Investigations.</li> <li>All other investigative case files except those that are unusually significant for documenting major violations of criminal law or ethical standards by agency officials or others.</li> <li>Significant case files, i.e., Challenger; Hubble; Investigations; and/or substantive changes in agency policy or procedures.</li> </ol> <p>B. <u>EMPLOYEES, CONTRACTOR, AND SUBCONTRACTOR FIRMS/EMPLOYEES</u></p> <p>Case files of investigative reports and related papers on current and former employees of NASA, Contractor and subcontractor firms and employees, and others having relationships with NASA or whose actions have affected NASA relating to activities possibly constituting a violation of law, rules, or regulations, or mismanagement, gross waste of funds, abuse of authority or a substantial and specific danger to the public health and safety. Also included are investigative files relating to a variety of administrative matters such as potential or actual tort claims for and against the Government, and management and program studies.</p> <p><b>NOTE:</b> A file is not closed until all judicial and administrative avenues and considerations have been finally exhausted. At the time of closing, the file is designated as a "Special" or "Routine" interest file. Special interest files are those investigative files which the Assistant Inspector General for Investigations determines should be retained because of especially significant, sensitive, or historical content. All other files are considered routine interest files.</p> | <p>DESTROY WHEN 5 YEARS OLD.<br/>[GRS 22-1a (91)]</p> <p>PLACE IN INACTIVE FILES WHEN CASE IS CLOSED. CLOSE INACTIVE FILE AT END OF FISCAL YEAR. DESTROY 10 YEARS AFTER FILE IS CLOSED.<br/>[GRS 22-1b (91)]</p> <p>THESE FILES MAY BE CONSIDERED *PERMANENT* AND MUST BE SCHEDULED BY SUBMITTING AN NF-1418 (SF-115) FOR DISPOSITION.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY 10 YEARS AFTER CASE IS</p> |

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# FINANCIAL MANAGEMENT AND INSPECTOR GENERAL RECORDS

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|--------------|-------------|---|---|
|              |             | 1. Special interest.  | CLOSED.<br>[NC1-255-81-1]   |
|              |             | 2. Routine interest.  | DESTROY 5 YEARS AFTER CASE IS<br>CLOSED.<br>[NC1-255-81-1]  |
| <b>9910</b>  |             | <b>Audit Program</b>  | (see below)   |
| 9910         | <b>24</b>   | <b>AUDIT FILES</b><br><br>A. <u>DMS AUDITS</u><br>Audit reports and related papers pertaining to the Defense Materials System.<br><br>1. Office of Primary Responsibility.<br><br>2. All other offices/copies.<br><br>B. <u>INTERNAL IG</u><br>Case files of internal audits of agency programs, operations, procedures, external audits of contractors and grantees. Files consist of audit reports, correspondence, memoranda, and supporting working papers.<br><br>1. Office conducting review.<br><br>2. Organization being audited.<br><br>3. All other offices/copies. | DESTROY WHEN 5 YEARS OLD.<br><DA: N1-255-94-2> (N 6-2, N 17-16)<br><br>DESTROY WHEN 2 YEARS OLD.<br><DA: N1-255-94-2><br><br>CLOSE FILE AT END OF FISCAL<br>YEAR AFTER CLOSE OF CASE.<br>DESTROY 8 YEARS AFTER CLOSE OF<br>CASE.<br>[GRS 22-2 (91)]<br><br>DESTROY 2 YEARS AFTER<br>DATE OF AUDIT REPORT.<br><DA: N1-255-94-2><br><br>DESTROY 2 YEARS AFTER DATE OF<br>AUDIT REPORT.<br><DA: N1-255-94-2> |
| 9910         | <b>25</b>   | <b>POLICY AND PROCEDURE FILES - HQ ONLY</b><br><br>Records defining and documenting the policies required for directing, controlling, and carrying out OIG operations. Also records on planning and developing OIG policies and procedures. Records can consist of manual, handbooks, directives, and working papers.   |   |

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|--------------|-------------|--|--|
|              |             | <p>A. One record copy of each if not included in the agency's permanent set of master directives files or the record set of publications.</p> <p>B. Working papers and background materials.</p> <p>C. All other offices/copies.</p>   | <p>* PERMANENT *<br/>CLOSE SET OF DIRECTIVES OR PUBLICATIONS WHEN SUPERSEDED OR OBSOLETE. TRANSFER TO NARA IN 5 YEAR BLOCKS WHEN 10 YEARS OLD.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED.<br/>&lt;DA: N1-255-94-2&gt;</p> |
| 9910         | 26          | <p><b>SEMIANNUAL REPORT TO CONGRESS</b></p> <p>Reports prepared by the statutory OIGs and submitted to the Congress, and working papers. The reports summarize the activities of the OIG for the six-month periods ending March 31 and September 30. For details on the composition of these reports, see Section 5, Public Law 95-452, as amended by 5 U.S.C. Appendix.</p> <p>A. Record copy of report (HQ Only).</p> <p>B. Working and background papers.</p> <p>C. All other offices/copies.</p> | <p>* PERMANENT *<br/>CLOSE FILE UPON TRANSMISSION TO CONGRESS. TRANSFER TO NARA IN 5 YEAR BLOCKS WHEN 5 YEARS OLD.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED.<br/>&lt;DA: N1-255-94-2&gt;</p> <p>DESTROY WHEN NO LONGER NEEDED.<br/>&lt;DA: N1-255-94-2&gt;</p>                             |
| 9910         | 27          | <p><b>INDEXES TO CASE FILES</b></p> <p>Used as references to investigative and audit case files.</p>   | <p>DESTROY OR DELETE WITH THE RELATED RECORDS.<br/>[GRS 23-9]</p>  |
| 9920         |             | <b>Audit Standards</b>   | (see below)  |

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|--------------|-------------|---|--|
| 9920         | 28          | <b>GAO AUDITS</b><br><br>A. <u>OF NASA</u><br><br>Case files on GAO audits of NASA activities. Includes GAO audit reports, correspondence, certificates of clearance, notice of completion, and all related papers.<br><br>1. Headquarters liaison office for GAO audits.<br><br>2. Organization audited or organization controlling audited NASA Contracts.<br><br>B. <u>OF CONTRACTORS</u><br>Case files on GAO audits of NASA contractors.<br><br>1. Cognizant procurement office.<br><br>2. All other offices/copies. | RETIRE TO FRC 2 YEARS AFTER DATE OF AUDIT REPORT. DESTROY 10 YEARS AFTER SUBJECT DATE.<br><DA: N1-255-94-2> (N 6-1)<br><br>DESTROY 5 YEARS AFTER DATE OF AUDIT REPORT.<br><DA: N1-255-94-2><br><br>DESTROY WITH RELATED CONTRACT FILE.<br><DA: N1-255-94-2> [NC1-255-81-1] (N 6-3)<br><br>DESTROY 3 YEARS AFTER AUDIT.<br><DA: N1-255-94-2> [NC1-255-81-1] |
| 9930         |             | <b>Audit Planning</b>   | Contact Center Records Mgr.  |
| 9940         |             | <b>Audit Performance (Conducting an Audit)</b>  | Contact Center Records Mgr.  |
| 9950         |             | <b>Audit Reporting</b>  | Contact Center Records Mgr.  |
| 9960         |             | <b>Audits of Contractors and Grantees</b>   | (see below)  |
| 9960         | 29          | <b>AUDITS OF CONTRACTORS</b><br><br>A. <u>NASA</u><br>Case files on NASA audits of contractors, including papers related to NASA audits for other Government agencies, such as DoD.<br><br>1. Office performing the review.   | RETIRE TO FRC 2 YEARS AFTER DATE OF FINAL AUDIT REPORT. DESTROY 8 YEARS AFTER SUBJECT DATE.<br><DA: N1-255-94-2> [NC1-255-81-1] (N 6-4)<br><br>DESTROY WITH RELATED  |

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|--------------|-------------|---|---|
|              |             | 2. Cognizant procurement office.  | CONTRACT FILE.<br><DA: N1-255-94-2><br>[NC1-255-81-1]   |
|              |             | 3. Other NASA Audit offices.  | DESTROY 3 YEARS AFTER DATE OF<br>FINAL AUDIT REPORT.<br><DA: N1-255-94-2><br>[NC1-255-81-1]   |
|              |             | 4. All other offices/copies.  | DESTROY 1 YEAR AFTER DATE OF<br>FINAL AUDIT REPORT.<br><DA: N1-255-94-2><br>[NC1-255-81-1]    |
|              |             | B. <u>OTHER AUDITS OF NASA CONTRACTORS</u><br>Includes DCAA and HHS audit reports, correspondence, and all related<br>papers. |   |
|              |             | 1. Cognizant regional audit office.   | DESTROY 3 YEARS AFTER DATE OF<br>AUDIT REPORT.<br><DA: N1-255-94-2><br>[NC1-255-81-1] (N 6-5) |
|              |             | 2. Cognizant procurement office.  | DESTROY WITH RELATED<br>CONTRACT FILE.<br><DA: N1-255-94-2><br>[NC1-255-81-1]                 |
|              |             | 3. All other offices/copies.  | DESTROY 1 YEAR AFTER DATE OF<br>AUDIT REPORT.<br><DA: N1-255-94-2><br>[NC1-255-81-1]          |
|              |             |   |   |
|              |             |   |   |
|              |             |   |   |
|              |             |   |   |
|              |             |   |   |
|              |             | <b>END OF SCHEDULE</b>  |   |
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|              |             |   |   |
|              |             |   |   |
|              |             |   |   |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



**FINANCIAL MANAGEMENT AND  
INSPECTOR GENERAL RECORDS**

**SCHEDULE 9**  
**(AFS 9000-9999)**

This document is updated frequently, therefore, printed copies may be obsolete, refer to the Change History Log at the beginning of NPG 1441.1 in the NASA Online Directives Information System (NODIS) for current version.

| <u>AFS #</u> | <u>ITEM</u> | <b>SUBJECT AREA OR RECORD TITLE</b><br><b><u>DESCRIPTION OF RECORD SERIES</u></b> | <b>RETENTION</b><br><u>&lt;Authority&gt;</u> |
|--------------|-------------|---|--|
|              |             |   |  |

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## **NASA RECORDS RETENTION SCHEDULE 10**

### **RECORDS COMMON TO MOST OFFICES**

This records schedule is one of a series of schedules approved by the Archivist of the United States, which furnish authoritative instructions for the retention, destruction, or retirement of records held by NASA Centers/installations or offices. This schedule grants continuing authority for the disposition of records already accumulated or to be accumulated in the future.

The records described in Schedule 10 pertain to records which are considered disposable and are created by most, if not all, offices within NASA. Record series within this schedule are considered to be the unofficial or non-record copy. Schedules 1 through 9 cover all official record material.

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# RECORDS COMMON TO MOST OFFICES

# SCHEDULE 10

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>   |
|--------------|-------------|--|--|
| 1000         | <b>1</b>    | <b>READING / CHRON FILES</b>   | SEE SCHEDULE 1   |
| 1000         | <b>2</b>    | <b>ROUGH DRAFTS, WORKING NOTES</b><br><br>Notes, records from which reports, staff papers, and other documents have been prepared and approved.  | DESTROY WHEN NO LONGER NEEDED.   |
| 1000         | <b>3</b>    | <b>STENOGRAPHIC NOTEBOOKS</b><br><br>Notebooks from which notes have been transcribed.   | DESTROY WHEN NOTES HAVE BEEN TRANSCRIBED OR NO LONGER NEEDED WHICHEVER IS SOONER.                  |
| 1000         | <b>4</b>    | <b>CORRESPONDENCE</b><br><br>A. Correspondence making routine arrangements for speeches, meetings, etc.<br><br>B. Correspondence forwarding publications, acknowledging letters or publications, etc.<br><br>C. Correspondence regarding the progress or status of completed studies or reports.   | DESTROY WHEN ONE YEAR OLD.<br><br>DESTROY WHEN THREE MONTHS OLD.<br><br>DESTROY WHEN ONE YEAR OLD. |
| 1000         | <b>5</b>    | <b>INFORMATION COPIES</b><br><br>Copies of telegrams, dispatches, instructions, letters, memorandums, correspondence and other documents which are not a part of the official subject or case file.  | DESTROY WHEN NO LONGER NEEDED OR WHEN ONE YEAR OLD WHICHEVER IS SOONER.                            |
| 1000         | <b>6</b>    | <b>LETTERS — GENERAL</b><br><br>A. Transmittal letters without attachments.<br><br>B. Letters and notes of simple acknowledgement, and expressions of appreciation for cooperation and assistance.   | DESTROY WHEN THREE MONTHS OLD.<br><br>DESTROY WHEN ONE YEAR OLD.                                   |
| 1000         | <b>7</b>    | <b>OFFICE WORKING FILES — DUPLICATE COPIES</b><br><br>A. Correspondence<br><br>1. Internal memoranda regarding details of office management, i.e., forwarding of checks, arrangements for leave, for travel, general cooperation, itineraries, etc.<br><br>2. Correspondence and notices regarding changes or corrections in directories, etc. | DESTROY WHEN ONE YEAR OLD.<br><br>DESTROY WHEN THREE MONTHS OLD.                                   |

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# RECORDS COMMON TO MOST OFFICES

# SCHEDULE 10

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>   | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|--|---|
|              |             | <p>3. Correspondence regarding plans for conferences and meetings, i.e., invitations to attend and acceptances or regrets, notices, arrangements for space and facilities, arrangements for chairperson, or speakers, EXCLUDING the record copy of final approved agenda or programs, minutes, transcripts or proceedings, speeches delivered, and comments made at or after the meetings or conference(s).</p> <p>B. Requests</p> <p>1. Requests for information and replies involving no administrative action, no new decisions by NASA, and no original development of special data.</p> <p>2. Requests for duplicating, for photography, for the preparation of graphics or charts, for stenographic services, etc.</p> | <p>DESTROY WHEN ONE YEAR OLD.<br/>ALSO SEE SCHEDULE 1.</p> <p>DESTROY WHEN ONE YEAR OLD.</p> <p>DESTROY WHEN ONE YEAR OLD.<br/>OFFICE OF PRIMARY<br/>RESPONSIBILITY (OPR) SEE<br/>SCHEDULE 2.</p> |
| 1000         | <b>8</b>    | <b>OBSOLETE MAILING LISTS</b><br><br>Obsolete mailing lists, notices of corrections to mailing lists, correspondence and memoranda regarding changes or corrections to mailing or distribution lists.  | DESTROY WHEN THREE MONTHS OLD.  |
| 1000         | <b>9</b>    | <b>OBSOLETE FORMS</b><br><br>Obsolete blank forms.   | DESTROY IMMEDIATELY.  |
| 1000         | <b>10</b>   | <b>INFORMATION ONLY COPIES</b><br><br>Issuances, notices, reports, releases, tabulations, and publications of other agencies or private industry submitted or received for general information purposes only.  | DESTROY WHEN ONE YEAR OLD.  |
| 3000         | <b>11</b>   | <b>VOLUNTARY ACTIVITIES / CHARITIES</b><br><br>Records pertaining to charity drives and other voluntary activities not part of the regularly assigned functions of the agency.   | DESTROY WHEN ONE YEAR OLD.<br>ALSO SEE SCHEDULE 3.  |
| 3000         | <b>12</b>   | <b>FILE COPY OF TIME AND ATTENDANCE REPORTS</b><br><br>Timekeeper copies, in each office, of individual time and attendance reports.   | SEE SCHEDULE 3.   |
|              | <b>13</b>   | <b>REFERENCE DATA</b><br><br>Minor items of reference data sent to field installations solely for their information and not requiring any specific administrative action.  | DESTROY WHEN ONE YEAR OLD.  |
|              | <b>14</b>   | <b>EXCESS OFFICE SUPPLIES</b><br><br>Excess, unused, office supplies and forms which are not needed in the operation of the office.  | RETURN TO STOCK.  |

NOTES: Only AFS numbers with defined subjects are used. -- RETENTION — For items marked Pending Retention Approval, contact your Center Records Manager for information and/or questions.



# RECORDS COMMON TO MOST OFFICES

# SCHEDULE 10

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| <u>AFS #</u> | <u>ITEM</u> | <u>SUBJECT AREA OR RECORD TITLE</u><br><u>DESCRIPTION OF RECORD SERIES</u>  | <u>RETENTION</u><br><u>&lt;Authority&gt;</u>  |
|--------------|-------------|---|---|
|              | 15          | <b>PUBLICATIONS AND OTHER PRINTED MATERIALS</b><br>NOTE: The office of origin or office of primary responsibility, of any published material should maintain one complete set — including obsolete and superseded items.<br><br>Telephone Directories — obsolete / superseded<br><br>Manual issuances — obsolete / superseded<br><br>Commercial and industrial catalogues and price lists — obsolete / superseded<br>Publications from other Government agencies which are not in current use, i.e., old Government Organization Manuals, etc.<br>Extra or stock copies of documents no longer needed for distribution purposes.<br>Formal NASA Reports -- extras (TNs, TMs, TRs, SPs, CPs, CRs, etc.)<br>NASA Contractor Reports<br>Contractor Progress Reports:<br>-- Over two years old.<br>Technical magazines, periodicals.<br><br>Congressional Directories / Records — obsolete copies.<br>Federal Registers -- obsolete copies.<br>Appropriation Hearings — duplicate copies. | DESTROY IMMEDIATELY. OPR SEE SCHEDULE 1.<br><br>DESTROY IMMEDIATELY. OPR SEE SCHEDULE 1.<br><br>DESTROY IMMEDIATELY.<br>DESTROY IMMEDIATELY.<br><br>DESTROY OR RETURN TO STOCK.<br>SEND TO CENTER LIBRARY.<br>SEE SCHEDULE 5.<br><br>DESTROY IMMEDIATELY.<br><br>DESTROY WHEN NO LONGER NEEDED.<br><br>DESTROY IMMEDIATELY.<br>DESTROY IMMEDIATELY.<br><br>DESTROY IMMEDIATELY OR SEND TO INSTALLATION HISTORIAN. |
|              |             |   |   |
|              |             |   |   |
|              |             |   |   |
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## **GLOSSARY**

### **ACCOUNTABLE OFFICERS' ACCOUNTS**

Specific documents supporting disbursements or collections of money prepared by Accountable Officers and required by GAO to be maintained for audit.

### **ACTIVE RECORDS**

Records that are referred to on a frequent basis, i.e., daily, or weekly. Records that are maintained in office files for immediate access, use, and reference. Also considered current records, which are necessary for conducting the business of an office.

### **APPRAISAL**

The process of determining the value and thus the disposition of records based upon their administrative and other uses, their evidential and informational or research value, their arrangement, and their relationship to other records.

### **BLOCKING FILES/RECORD SERIES**

- (1) One or more chronological segments of records that are in the same series and are dealt with as a unit for disposition purposes, especially during the transfer of permanent records to NARA. For example, a transfer of records in 5-year blocks.
- (2) In electronic records, a grouping of data stored as a unit on an external storage medium and dealt with as a unit by the computer of input or output.
- (3) The records of an agency, organizational component, or functional area.

### **CASE FILE**

A folder or other file unit containing materials relating to a specific action, transaction, event, person, place, project, or other subject. A case file may cover one or many subjects that relate to the case; for example, a contract file contains records on a specific contract, such as the application, correspondence, addenda, reports, and processing documents. Other types of case files include official personnel folders, surveys, and studies.

### **CORRESPONDENCE**

Records arranged and filed according to their general informational content. Consist mainly of general correspondence but may also include forms, reports, and other material that relate to programs and functions not to a specific case or a particular person or organization.

SEE "General Correspondence"

### **DESTROYING**

Physical destruction or alienation of records; any act which effectively obliterates the informational content of records, such as unauthorized removal of Government documents, tearing up, burning, pulping, erasure (tapes/diskettes/disks), etc.



**DISPOSITION**

Actions taken with regard to noncurrent records. The actions include retirement to a records center for temporary storage, transfer to NARA, donation to an eligible depository, reproduction on microfilm, and destruction. Disposition may include two or more of these actions, such as retirement after one year to a records center, with retention for five years, and destroy when six years old.

**EVIDENTIAL VALUE**

The usefulness of records as the primary evidence of NASA's authority, functions, organization, operations, and basic decisions and procedures.

**FEDERAL RECORDS CENTER (FRC)**

A records storage facility operated by the National Archives and Records Administration (NARA) for housing and servicing inactive and semiactive records of the Federal Government.

**FILE**

- (1) An accumulation of records maintained in a predetermined physical arrangement.
- (2) Storage equipment such as a filing cabinet.

**FILE BREAK**

Termination of a file at regular periodic intervals to facilitate continuous disposal, retirement, or transfer of the file/record series, i.e., monthly, yearly, 5 year blocks, etc.

**GENERAL CORRESPONDENCE**

A file consisting of correspondence accumulated by organizations as a result of their routine operations. Records consist of arrangement of correspondence, memoranda, and messages on a number of different subjects as distinguished from a case file that contains correspondence about specific transactions or projects.

**GENERAL RECORDS SCHEDULES (GRS)**

A comprehensive listing of temporary records common to several or all Federal agencies, issued by the National Archives and Records Administration, governing the disposition of specified recurring series of records. These standards are mandatory for Federal agencies.

**INACTIVE RECORDS**

Records that are no longer required or which are referred to so infrequently in the conduct of current business that they may be removed from the office and either retired to an FRC or destroyed depending on the approved disposition. Also referred to as *NONCURRENT RECORDS*.

**INVENTORY**

A systematic listing of all records series in an office or an agency generally including the location of each series, physical characteristics, and description of content.

**LONG TERM RETENTION**

The length of time that records are to be kept. Long-term refers to a period of retention which can be anywhere from 10 years to 60 years.



**NONRECORD MATERIAL**

Material such as extra copies of documents and correspondence that are kept only for convenience or reference, stocks of publications and processed documents, personal records, reference items, and library or museum material intended solely for reference or exhibition. Also see RECORDS.

**OFFER**

A term formerly used to describe the act of requesting NARA to approve the transfer of records, or the act of initiating the transfer of records either scheduled or unscheduled.

**OFFICE OF PRIMARY RESPONSIBILITY (OPR)  
OFFICE OF RECORD**

An office designated as the official custodian of records for a specified program, activity, or transaction of an organization.

Under functional or decentralized filing plans, the Office of Record (OPR) is usually the office which created the record or initiated the action on an incoming records, unless otherwise designated.

Under centralized filing, the central file(s) are designated or become the OPR.

**OFFICIAL FILES**

An accumulation of official records documenting an action or providing valuable information. The official files include the originals of incoming correspondence and the initialed copies of the outgoing and interoffice correspondence, the original or action copies of reports, completed forms, maps, photographs, and other similar documents.

**PERMANENT RECORDS**

In U.S. Government usage, records appraised by NARA as having enduring value because they document the organization and functions of the agency that created or received them; and/or, because they contain significant information on persons, things, problems, programs, projects, and conditions with which the agency dealt. These records are valuable or unique in that they document the history of the agency and generally record primary missions, functions, responsibilities and significant experiences or accomplishments of the agency.

**PROJECT FILE**

A type of case file that contains records relating to an assigned task or problem. ALSO SEE "Case File."

**RECORD GROUP NUMBER**

An identification number assigned to a single Federal agency by GSA or NARA for archival control of that agency's documentation/records. NASA has been officially assigned a Record Group Number of 255.



## **RECORDS**

All books, papers, maps, photographs, negatives, machine-readable materials, diskettes, microfilm, audio tapes, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data contained therein. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and or processed documents are not included.

Machine-readable materials include, but are not limited to, optical disk, magnetic tape, sound recordings, microforms, and any other such recording medium regardless of how produced.

## **RECORDS CENTER**

- (1) A facility for the economical storage and servicing of records pending their ultimate disposition.
- (2) An area or facility designated as a temporary staging area.

ALSO SEE 'Federal Records Center.'

## **RECORDS RETENTION SCHEDULES**

A legal document governing, on a continuing basis, the mandatory disposition of recurring record series of an organization or agency. Also known as a records schedule, records control schedule, records disposition schedule, retention schedule, or schedules. NASA's schedules are formally called 'NASA Records Retention Schedules (NRRS).'

## **RETENTION PERIOD**

The period of time that inactive records must be kept after cutoff or break, prior to their destruction.

## **RETIREMENT**

The shipment of semicurrent and noncurrent records to a records center or some other authorized depository for storage until the expiration of their retention period.

## **SCHEDULE**

An official agency action document listing the records series created by the agency. A schedule indicates whether each series of records is permanent or temporary and includes retention periods. ALSO SEE "Records Retention Schedules."

## **SERIES**

File units or documents arranged in accordance with a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or because of some other relationship arising out of their creation, receipt, or use. Sometimes known as a "record series."

## **TEMPORARY RECORDS**

Records approved by NARA or by an authorized agency records schedule for disposal, either immediately or after a specified period of time. Also called disposable records or nonpermanent records.



**TRANSFER**

The movement of records out of filing cabinets and office space into the legal custody of the National Archives and Records Administration or other authorized depository.

**TRANSITORY RECORDS**

A general term for those types of records that lose their value within a short period of time (approx. 3 months) and that should be separated during filing from records requiring longer retention or until the purpose for which it was created has been accomplished and the record can be destroyed.

**VITAL RECORDS**

Records essential for maintaining the continuity of Federal Government activities during a National emergency. These records consist of two categories: (1) emergency operating records, which outline the essential functions of the Government for the duration of emergency conditions, and (2) rights and interests records, which are required for the preservation of the rights and interests of individual citizens and the Government. (See NASA NMI 1440.5A.)

**WORKING PAPERS**

Documents such as rough notes, calculations, or drafts, assembled or created and used in the preparation or analysis of other documents.



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| 5         | ADMINISTRATIVE AND COURT LITIGATION CASES INVOLVING<br>NASA |     |
| [2084]    |   |     |
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| 6         | SMALL BUSINESS INNOVATIVE RESEARCH (SBIR)                   |     |
| [2100]    |   |     |
|           | -----   | 2-3 |
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| [2100]    |   |     |
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| (N 23-7)  | -----   | 2-4 |
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| (N 23-7)     | -----  | 2-8  |
| (N 23-8)     | -----  | 2-11 |
| 9            | STI DATABASE ACCESSION SERIES - ELECTRONIC                         |      |
| [2220]       |  |      |
|              | -----  | 2-13 |
| 10           | FINDING AIDS - LIBRARY   |      |
| [2240]       |  |      |
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| 11           | MANAGEMENT PROJECT FILES   |      |
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| 13           | AUTOMATED DATA PROCESSING (ADP) RECORDS - GENERAL                  |      |
| [2400]       |  |      |
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| 14           | AUTOMATED DATA PROCESSING (ADP) RECORDS/FILES                      |      |
| [2410]       |  |      |
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| (N 26-7)     | -----  | 2-16 |
| 15           | COMPUTER/ELECTRONIC MEDIA - GENERAL                                |      |
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| (N 27-4)     | -----  | 2-18 |
| (N 27-5)     | -----  | 2-18 |
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| (N 27-6)     | -----  | 2-19 |



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| 16        | INFORMATION SERVICES SYSTEM - LaRC ONLY        |      |
| [2430]    | -----  | 2-21 |
| 17        | COMPUTER-MEDIA STORAGE FACILITIES              |      |
| [2430]    |  |      |
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| 18        | DUPLICATE COMPUTER/ELECTRONIC MEDIA            |      |
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| 19        | COMMUNICATIONS RECORDS                         |      |
| [2500]    |  |      |
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| (N 10-5)  | -----  | 2-22 |
| (N 10-4)  | -----  | 2-22 |
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| (N 10-14) | -----  | 2-23 |
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| 20        | FIXED COMMUNICATIONS FILES                     |      |
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| [2570]    |  |      |
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| (N 10-1)  | -----  | 2-24 |
| (N 10-3)  | -----  | 2-24 |
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| [2600]    |  |      |
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| 23       | PHOTOGRAPHS / STILL PICTURES |      |
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| 24       | VIDEO PRODUCTIONS            |      |
| [2630]   |                              |      |
|          | -----                        | 2-29 |
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| [2630]   |                              |      |
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### HUMAN RESOURCES / PERSONNEL - SCHEDULE 3

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| 2<br>[3000]<br>(N 15-8)             | TEMPORARY, INDIVIDUAL EMPLOYEE RECORDS<br>-----                                       | 3-1        |
| 3<br>[3100]                         | EXECUTIVE RESOURCES MANAGEMENT SYSTEM - NASA 10<br>ERMS<br>-----                      | 3-2        |
| 4<br>[3100]                         | INTERAGENCY PERSONNEL AGREEMENTS (IPA)<br>-----                                       | 3-2        |
| 5<br>[3100]                         | EXECUTIVE POSITION FILES - PERFORMANCE FILES<br>-----                                 | 3-2        |
| 6<br>[3100]<br>(N 15-49)            | NASA-CSC EXECUTIVE ASSIGNMENT FILES<br>-----  | 3-4        |
| 7<br>[3273]<br>(N 1-35)             | MANPOWER SURVEY FILES<br>-----  | 3-4        |
| 8<br>[3290]<br>(N 15-15)<br>(N 4-5) | NOTIFICATIONS OF PERSONNEL ACTIONS<br>-----<br>-----                                  | 3-4<br>3-4 |
| 9<br>[3290]<br>(N 15-19)            | DUPLICATE COPIES - PERSONNEL FILES (MAINTAINED<br>OUTSIDE PERSONNEL OFFICES)<br>----- | 3-4        |



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| 10        | STATISTICAL DATA / REPORT FILES               |     |
| [3292]    |   |     |
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| [3292]    |   |     |
| (N 15-5)  | -----   | 3-5 |
| 12        | COMPETITIVE PLACEMENT PLAN (CCP) FILES        |     |
| [3300]    |   |     |
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| [3300]    |   |     |
| (N 15-16) | -----   | 3-5 |
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| [3316]    | -----   | 3-5 |
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| 16        | CERTIFICATE OF ELIGIBLES FILES                |     |
| [3300]    |   |     |
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| [3300]    |   |     |
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| 18        | OUTSIDE EMPLOYMENT FILES                      |     |
| [3300]    |   |     |
| [1900]    | -----   | 3-6 |
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| 19        | SPECIAL PERSONNEL RECORDS - NASA 10 SPER      |     |
| [3300]    |   |     |
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| 20        | OFFERS OF EMPLOYMENT (APPOINTMENT)           |     |
| [3311]    |  |     |
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| 21        | MANPOWER REPORTS                             |     |
| [3312]    |  |     |
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| (N 1-38)  | -----  | 3-7 |
| 22        | PUBLIC SERVICE CAREERS EMPLOYEES FILES       |     |
| [3315]    |  |     |
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| 23        | TEMPORARY INDIVIDUAL EMPLOYEE RECORDS        |     |
| [3316]    |  |     |
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| 24        | NASA OUTPLACEMENT PROGRAM                    |     |
| [3330]    |  |     |
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| 25        | PROMOTION REGISTER FILES                     |     |
| [3335]    |  |     |
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| [3335]    |  |     |
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| 27        | LENGTH OF SERVICE AND SICK LEAVE AWARD FILES |     |
| [3350]    |  |     |
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| 28        | RESERVED                                     |     |
| 29        | CIVILIAN SERVICE EMBLEM CONTROL FILE         |     |
| [3350]    |  |     |
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| 30        | REEMPLOYMENT PRIORITY FILES                  |     |
| [3352]    |  |     |
| (N 15-46) | -----  | 3-9 |



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| 31        | PERFORMANCE AND COMPETENCE FILES                       |      |
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| (N 15-10) | -----  | 3-9  |
| 32        | PhD THESES FILES - NASA HEADQUARTERS ONLY              |      |
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|           | -----  | 3-9  |
| 33        | TRAINING RECORDS/FILES - GENERAL                       |      |
| [3400]    |  |      |
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| (N 15-32) | -----  | 3-10 |
| (N 15-33) | -----  | 3-10 |
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| 34        | TRAINING AGREEMENT FILES                               |      |
| [3410]    |  |      |
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| 35        | COOPERATIVE TRAINING FILES                             |      |
| [3410]    |  |      |
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| [3410]    |  |      |
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| 37        | GRADUATE STUDY PROGRAM RECORDS                         |      |
| [3410]    | -----  | 3-12 |
| 38        | TRAINING - REPORT FILES                                |      |
| [3410]    |  |      |
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| 39        | AWARDS PUBLICITY FILES                                 |      |
| [3451]    |  |      |
| (N 15-14) | -----  | 3-13 |
| 40        | AWARDS AND PROGRAM FILES - EMPLOYEE                    |      |
| [3451]    |  |      |
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|            |  |      |
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| 41         | POSITION DESCRIPTIONS                      |      |
| [3500]     |  |      |
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| [3500]     |  |      |
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| 43         | LEVY AND GARNISHMENT FILES                 |      |
| [3500]     |  |      |
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| 44         | POSITION IDENTIFICATION STRIPS             |      |
| [3510]     |  |      |
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| 45         | PAY TABLES                                 |      |
| [3530]     |  |      |
| (N 4-19)   | -----                                      | 3-15 |
| 46         | PAYROLL RECORDS                            |      |
| [3550]     |  |      |
|            | -----                                      | 3-15 |
| 47         | PAYROLL SYSTEM - NASA 10 PAYS              |      |
| [3550]     |  |      |
|            | -----                                      | 3-15 |
| 48         | TIME AND ATTENDANCE REPORTS                |      |
| [3600]     |  |      |
| (N 4-2)    | -----                                      | 3-16 |
| 49         | LEAVE RECORDS                              |      |
| [36301]    |  |      |
| (N 4-3)    | -----                                      | 3-16 |
| (N 4-4)    | -----                                      | 3-16 |
| 50         | EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS |      |
| [3700]     |  |      |
| (N 15-27)  | -----                                      | 3-17 |
| (N 15-28)  | -----                                      | 3-17 |
| (N 15-29)  | -----                                      | 3-17 |



|                                    |  |              |
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| 51<br>[3700]                       | COMMENDATION/COMPLAINT CORRESPONDENCE FILES<br>-----                                 | 3-18         |
| 52<br>[37101<br>(N 15-44)          | LABOR MANAGEMENT RELATIONS RECORDS<br>-----  | 3-19         |
| 53<br>[3711]<br>[3713]<br>(N 15-7) | INTERVIEW RECORDS<br>-----<br>-----  | 3-19<br>3-19 |
| 54<br>[3771]<br>(N 15-43)          | GRIEVANCE, DISCIPLINARY AND ADVERSE ACTION FILES<br>-----                            | 3-20         |
| 55<br>[3800]<br>(N 4-16)           | INSURANCE DEDUCTION FILES<br>-----   | 3-20         |
| 56<br>[38001]                      | NASA EMPLOYEES BENEFIT ASSOCIATION INSURANCE FILES<br>(NEBA)<br>(DFRF ONLY)<br>----- | 3-21         |
| 57<br>[3831]<br>(N 4-15)           | RETIREMENT FILES<br>-----  | 3-21         |
| 58<br>[3850]<br>(N 4-18)           | UNEMPLOYMENT COMPENSATION DATA REQUEST FILES<br>-----                                | 3-22         |
| 59<br>[3870]<br>(N 15-23)          | MONETARY BENEFITS FILES<br>-----   | 3-22         |
| 60<br>[3900]<br>(N 15-18)          | MISCELLANEOUS CORRESPONDENCE AND FORMS -<br>PERSONNEL<br>-----                       | 3-23         |



|          |   |      |
|----------|---|------|
| 61       | CHARITY DRIVES, CONTRIBUTIONS, AND OTHER ACTIVITIES |      |
| [3940]   |   |      |
| (N 1-9d) | -----   | 3-23 |
| 62       | INDIVIDUAL AUTHORIZED ALLOTMENT(S) FILES            |      |
| [3960]   |   |      |
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| (N 4-11) | -----   | 3-24 |
| 63       | UTILIZATION OF PERSONNEL AUTHORITIES                |      |
| [3981]   |   |      |
|          | -----   | 3-24 |



## PROPERTY AND SUPPLY — SCHEDULE 4

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|-----------|--|-----|
| 1         | LOST AND FOUND ACCOUNTABILITY FILES                              |     |
| [4000]    |  |     |
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| 2         | REPORT OF SURVEY FILES   |     |
| [4020]    |  |     |
| (N 17-26) | -----  | 4-1 |
| 3         | INVENTORY FILES  |     |
| [4100]    |  |     |
| (N 17-24) | -----  | 4-1 |
| 4         | CAPITALIZED EQUIPMENT REGISTER                                   |     |
| [4100]    |  |     |
| (N 18-7)  | -----  | 4-1 |
| 5         | STORES RECORDS   |     |
| [4120]    |  |     |
| (N 5-2)   | -----  | 4-1 |
| (N 5-4)   | -----  | 4-1 |
| (N 5-3)   | -----  | 4-1 |
| 6         | MECHANIZED PROPERTY AND SUPPLY RECORDS<br>(TRANSACTION REGISTER) |     |
| [4130]    |  |     |
| (N 17-45) | -----  | 4-2 |
| 7         | SPACE AND MAINTENANCE - GENERAL                                  |     |
| [4200]    |  |     |
| (N 18-9)  | -----  | 4-2 |
| 8         | PROPERTY FILES   |     |
| [4210]    |  |     |
|           | -----  | 4-2 |
| 9         | SURPLUS PROPERTY FILES   |     |
| [4320]    |  |     |
| (N 18-8)  | -----  | 4-3 |
| (N 18-5c) | -----  | 4-3 |



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| 10<br>[4360] | EXCESS PROPERTY  | ----- | 4-3 |
| 11<br>[4360] | PLANT CLEARANCE FILES - CONTRACTOR EXCESS PROPERTY<br>(KSC ONLY) | ----- | 4-3 |
| 12<br>[4500] | CONTROLLED MATERIAL FILES  |       |     |
| (N 17-15)    |  | ----- | 4-4 |
| (N 17-17)    |  | ----- | 4-4 |
| (N 17-10)    |  | ----- | 4-4 |
| 13<br>[4500] | ALLOCATION FILES   |       |     |
| (N 17-13)    |  | ----- | 4-4 |
| 14<br>[4500] | PRIORITY RATING CASE FILES                                       |       |     |
| (N 17-14)    |  | ----- | 4-4 |
| 15<br>[4500] | DEFENSE MATERIAL SYSTEM INSTRUCTION FILES                        |       |     |
| (N 17-12)    |  | ----- | 4-4 |



## PROCUREMENT-SCHEDULE 5

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| 1         | ROUTINE PROCUREMENT FILES                                       |     |
| [5100]    |   |     |
| (N 17-1)  | -----   | 5-1 |
| 2         | PROCUREMENT CONTROL FILES                                       |     |
| [5100]    |   |     |
| (N 17-2)  | -----   | 5-2 |
| 3         | STATUS REPORTS ON PRIME AND SUBCONTRACT AWARDS                  |     |
| [5100]    |   |     |
| (N 17-40) | -----   | 5-2 |
| 4         | BIDDERS' LISTS  |     |
| [5100]    |   |     |
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| (N 17-7)  | -----   | 5-2 |
| 5         | GENERAL PROCUREMENT CORRESPONDENCE                              |     |
| [5100]    |   |     |
| (N 17-48) | -----   | 5-2 |
| 6         | CONTRACT LEGAL ADVICE   |     |
| [5101]    |   |     |
| (N 13-7)  | -----   | 5-3 |
| 7         | BASIC AGREEMENT FILES   |     |
| [5104]    |   |     |
| (N 17-43) | -----   | 5-3 |
| 8         | CONTRACT ADMINISTRATION OF PATENT AND NEW<br>TECHNOLOGY CLAUSES |     |
| [5104]    |   |     |
| (N 13-8)  | -----   | 5-3 |
| 9         | SURVEYS OF EVALUATIONS  |     |
| [5104]    |   |     |
| (N 17-19) | -----   | 5-3 |



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| 10        | PROCUREMENT ACTION REPORT   |     |
| [5105]    |   |     |
| (N 17-11) | -----   | 5-3 |
| 11        | COMPETENCY CERTIFICATES   |     |
| [5109]    |   |     |
| (N 17-31) | -----   | 5-4 |
| 12        | CONTRACT DEVIATION FILES  |     |
| [5112]    |   |     |
| (N 17-4)  | -----   | 5-4 |
| 13        | SOURCE EVALUATION BOARD (SEB) FILES   |     |
| [5115]    |   |     |
| (N 17-39) | -----   | 5-4 |
| (N 13-21) | -----   | 5-4 |
| 14        | SOLICITED AND UNSOLICITED BIDS AND PROPOSALS FILES<br>(INCLUDING SUCCESSFUL/UNSUCCESSFUL AND REJECTED BIDS) |     |
| [5115]    |   |     |
| (N 17-5)  | -----   | 5-5 |
| (N 17-9)  | -----   | 5-5 |
| 15        | QUALIFICATION LISTS   |     |
| [5119]    |   |     |
| (N 17-33) | -----   | 5-6 |
| 16        | SMALL BUSINESS RECORDS  |     |
| [5119]    |   |     |
| (N 17-32) | -----   | 5-6 |
| (N 17-28) | -----   | 5-6 |
| (N 17-29) | -----   | 5-6 |
| (N 17-30) | -----   | 5-6 |
| 17        | LICENSING OF NASA-OWNED INVENTIONS (DOMESTIC AND<br>FOREIGN)  |     |
| [5127]    |   |     |
| (N 13-10) | -----   | 5-6 |
| 18        | PATENTS   |     |
| [5127]    |   |     |
| (N 13-11) | -----   | 5-6 |
| (N 13-12) | -----   | 5-6 |



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|-----------|---|-----|
| 19        | TAX EXEMPTION FILES   |     |
| [5129]    |   |     |
| (N 17-36) | -----   | 5-7 |
| 20        | CONTRACTORS' PAYROLL  |     |
| [5131]    |   |     |
| (N 17-41) | -----   | 5-7 |
| 21        | COST AND PRICE ANALYSIS FILES   |     |
| [5131]    |   |     |
| (N 17-35) | -----   | 5-7 |
| 22        | BID AND AWARD PROTEST FILES   |     |
| [5133]    | (ALSO SEE SCHEDULE 2)   |     |
| (N 17-6)  | -----   | 5-7 |
| 23        | R&D CONTRACT REFERENCE FILE   |     |
| [5135]    |   |     |
| (N 24-15) | -----   | 5-7 |
| 24        | INTERSERVICE INSPECTION FILES   |     |
| [5137]    |   |     |
| (N 17-42) | -----   | 5-7 |
| 25        | CONTRACTOR MONTHLY MANAGEMENT AND OPERATIONS<br>REPORTS                               |     |
| [5142]    | -----   | 5-8 |
| 26        | CONTRACT TERMINATION REPORT FILES   |     |
| [5149]    |   |     |
| (N 17-3)  | -----   | 5-8 |
| 27        | CONTRACTOR LABOR RELATIONS - EQUAL EMPLOYMENT<br>OPPORTUNITY (EEO) RECORDS (INDUSTRY) |     |
| [5200]    |   |     |
| (N 17-37) | -----   | 5-8 |
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| 28        | UNSATISFACTORY CONDITION REPORTS  |     |
| [5300]    |   |     |
| (N20-7)   | -----   | 5-8 |



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|-----------|-------------------------------------|------|
| 29        | EVALUATION FILES                    |      |
| [5300]    |                                     |      |
| (N 20-1)  | -----                               | 5-9  |
| 30        | R&QA AUDITS, SURVEYS, AND REPORTS   |      |
| [5300]    |                                     |      |
| (N 20-11) | -----                               | 5-9  |
| 31        | INSPECTION AND PROOF REPORT(S)      |      |
| [5300]    |                                     |      |
| (N 20-6)  | -----                               | 5-9  |
| 32        | MANUFACTURING CONTROL FILES         |      |
| [5310]    |                                     |      |
| (N 20-8)  | -----                               | 5-10 |
| 33        | TECHNICAL FILES                     |      |
| [5310]    |                                     |      |
| (N 20-4)  | -----                               | 5-10 |
| 34        | PARTS PROGRAM MANAGEMENT FILES      |      |
| [5320]    |                                     |      |
| (N 20-3)  | -----                               | 5-10 |
| 35        | MANUFACTURING QUALITY CONTROL FILES |      |
| [5330]    |                                     |      |
| (N 20-5)  | -----                               | 5-10 |
| 36        | WAIVERS - PATENTS                   |      |
| [5500]    |                                     |      |
| (N 13-19) | -----                               | 5-11 |
| 37        | GRANTS                              |      |
| [5800]    |                                     |      |
|           | -----                               | 5-11 |
| 38        | FACILITIES GRANTS                   |      |
| [5800]    |                                     |      |
| (N 17-38) | -----                               | 5-13 |
| 39        | ITEM PRICING FILES                  |      |
| [5900]    |                                     |      |
| (N 17-34) | -----                               | 5-14 |



## TRANSPORATION - SCHEDULE 6

|           |   |     |
|-----------|---|-----|
| 1         | PREPAID BILLS OF LADING                       |     |
| [6051]    |   |     |
| (N 22-8)  | -----   | 6-1 |
| (N 22-7)  | -----   | 6-1 |
| 2         | FREIGHT FILES (SHIPPING)                      |     |
| [6100]    | -----   | 6-1 |
| 3         | CARRIER RATE TENDER FILES                     |     |
| [6110]    |   |     |
| (N 22-10) | -----   | 6-2 |
| 4         | FREIGHT RATE NEGOTIATION FILES                |     |
| [6120]    |   |     |
| (N 22-11) | -----   | 6-2 |
| 5         | TRAFFIC MANAGEMENT FEASIBILITY STUDIES        |     |
| [6200]    |   |     |
| (N 22-14) | -----   | 6-2 |
| 6         | LOST, DAMAGED, OR IMPROPER SHIPMENT FILES     |     |
| [6220]    | -----   | 6-2 |
| 7         | SHIPMENT OF HAZARDOUS/RADIOACTIVE MATERIALS   |     |
| [6330]    |   |     |
| (N 21-10) | -----   | 6-2 |
| 8         | MOTOR CARRIERS' EXPLOSIVE OPERATING AUTHORITY |     |
| [6330]    |   |     |
| (N 22-12) | -----   | 6-2 |
| 9         | SIZE AND WEIGHT LIMITS - HIGHWAY              |     |
| [6340]    |   |     |
| (N 22-13) | -----   | 6-2 |



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|-----------|---|-----|
| 10        | HIGHWAY MOVEMENT PERMITS  |     |
| [6620]    |   |     |
| (N 22-15) | -----   | 6-3 |
| 11        | MOTOR VEHICLE RECORDS - OPERATION AND MANAGEMENT                    |     |
| [6700]    | -----   | 6-3 |
| (N 12-25) | -----   | 6-3 |
| (N 4-8)   | -----   | 6-3 |
| (N 12-26) | -----   | 6-3 |
| (N 14-7)  | -----   | 6-4 |
| (N 14-10) | -----   | 6-4 |
| (N 22-6)  | -----   | 6-4 |
| (N 14-6a) | -----   | 6-4 |
| (N 14-6b) | -----   | 6-4 |
| 12        | GOVERNMENT MOTOR VEHICLE OPERATORS PERMIT<br>RECORDS - NASA 10 GMVP |     |
| [6730]    | -----   | 6-5 |



## PROGRAM FORMULATION — SCHEDULE 7

|  |   |                                 |
|--|---|---------------------------------|
| 1<br>[7000]<br>(N 24-11)   | R&D CORRESPONDENCE FILES<br>-----   | 7-1                             |
| 2<br>[7000]<br>(N 24-9)  | R&D PROJECT CONTROL FILES<br>-----  | 7-1                             |
| 3<br>[7000]  | R&D SOURCE DATA FILES<br>-----  | 7-1                             |
| 4<br>[7020]<br>(N 24-1)  | R&D LONG RANGE PLANNING FILES<br>-----  | 7-2                             |
| 5<br>[7100]<br>(N 25-6)<br>(N 24-4)<br>(N 25-2)<br>(N 1-9a)<br>(N 24-18) | R&D PROJECT FILES - PLANNING AND APPROVAL<br>FINAL REPORTS AND COMPLETED PROJECTS - SEE SCHEDULE 8<br>-----<br>-----<br>-----<br>-----<br>----- | 7-2<br>7-3<br>7-3<br>7-3<br>7-3 |
| 6<br>[7100]<br>(N 24-2)  | R&D PROGRAM MANAGER CONTROL FILES<br>-----  | 7-4                             |
| 7<br>[7100]  | EARTH OBSERVATIONS COMMERCIAL APPLICATIONS<br>PROGRAM (EOCAP) (SSC ONLY)<br>-----   | 7-4                             |
| 8<br>[7100]  | NASA RESEARCH ANNOUNCEMENTS (NRS)<br>-----  | 7-5                             |
| 9<br>[7100]  | R&D PEER REVIEW AND EVALUATIONS<br>-----  | 7-5                             |



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|-----------|--|-----|
| 10        | PROJECT APPROVAL DOCUMENTS (PAD)                               |     |
| [7120]    |  |     |
| (N 7-4)   | -----  | 7-5 |
| 11        | MANAGEMENT PROJECT FILES                                       |     |
| [7120]    |  |     |
| (N 1-31)  | -----  | 7-6 |
| 12        | R&D SPECIFICATION FILES  |     |
| [7121]    |  |     |
| (N 24-6)  | -----  | 7-6 |
| 13        | PUBLIC REACTIONS TO ESTABLISHMENT OF MAJOR PROJECTS            |     |
| [7120]    |  |     |
| (N 18-17) | -----  | 7-6 |
| 14        | RESEARCH AND TECHNOLOGY OBJECTIVES AND PLANS<br>(RTOP)         |     |
| [7150]    |  |     |
| (N 24-3)  | -----  | 7-6 |
| 15        | R&D INSTALLATION TEST SCHEDULING                               |     |
| [7150]    |  |     |
| [8080]    |  |     |
| (N 24-10) | -----  | 7-7 |
| 16        | HUMAN EXPERIMENTAL AND RESEARCH DATA RECORDS -<br>NASA 10 HERD |     |
| [7170]    |  |     |
|           | -----  | 7-7 |
| 17        | INSTITUTIONAL OPERATING PLAN (IOP)                             |     |
| [7230]    |  |     |
|           | -----  | 7-7 |
| 18        | DRAWINGS - R&D FACILITIES FILES                                |     |
| [7320]    |  |     |
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| 19        | FINANCIAL REPORTS - CONTRACTS AND GRANTS                       |     |
| [7400]    |  |     |
| [9300]    |  |     |
| (N 7-9)   | -----  | 7-8 |



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|----------|--|------|
| 20       | ALLOTMENT OF FUNDS (504s)                            |      |
| [7400]   |  |      |
| (N 7-3)  | -----  | 7-8  |
| 21       | BUDGET AND PROGRAMMING RESOURCES/APPORTIONMENT FILES |      |
| [7400]   |  |      |
| [7410]   |  |      |
| (N 7-8)  | -----  | 7-8  |
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| (N 7-1)  | -----  | 7-9  |
| 22       | PROGRAM/PROJECT OPERATING PLAN (POP)                 |      |
| [7600]   |  |      |
|          | -----  | 7-10 |
| 23       | PROGRAM/PROJECT NAME FILES                           |      |
| [7620]   |  |      |
| (N 1-40) | -----  | 7-10 |
| 24       | RESOURCES AUTHORITY WARRANTS                         |      |
| [7830]   |  |      |
| (N 7-5)  | -----  | 7-10 |
| 25       | AIRCRAFT FILES                                       |      |
| [7900]   |  |      |
|          | -----  | 7-11 |



## PROGRAM MANAGEMENT — SCHEDULE 9

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|----------------------|--|-----|
| 1                    | DEFENSE INDUSTRIAL PLANT EQUIPMENT CENTER (DIPEC)<br>LOAN                          |     |
| [8000]<br>(N 17-47)  | -----  | 8-1 |
| 2                    | TOOL DRAWING FILES   |     |
| [8000]<br>(N 20-9)   | -----  | 8-1 |
| 3                    | DATA FILES ON ORGANIC MATERIALS USED IN<br>CONSTRUCTION OF PLANETARY<br>SPACECRAFT |     |
| [8000]<br>(N 25-9)   | -----  | 8-1 |
| 4                    | R&D CORRESPONDENCE FILES   |     |
| [80001]<br>(N 24-11) | -----  | 8-2 |
| 5                    | R&D PROJECT FILES  |     |
| [8000]<br>(N 25-1)   | -----  | 8-2 |
| 6                    | RESERVED   |     |
| 7                    | R&D APOLLO DOCUMENTATION ADMINISTRATION FILES                                      |     |
| [8000]<br>(N 24-8)   | -----  | 8-7 |
| 8                    | SPACE FLIGHT EXPERIMENT/INVESTIGATIONS REDUCED<br>DATA                             |     |
| [8030]               | -----  | 8-8 |
| 9                    | CONFIGURATION CONTROL BOARD (CCB) RECORDS  |     |
| [8040]               | -----  | 8-9 |
| 10                   | CONFIGURATION MANAGEMENT FILES - SPACE SHUTTLE<br>PROJECT OFFICE (MSFC ONLY)       |     |
| [8040]               | -----  | 8-9 |



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|---------------------|---|------|
| 11                  | DESIGN AND ENGINEERING DRAWINGS FOR FABRICATION OF<br>DISPLAY MODELS AND EXHIBITS |      |
| [8060]<br>(N 9-1d)  | -----   | 8-10 |
| 12                  | STANDARDS AND SPECIFICATION FILES   |      |
| [8070]<br>(N 24-6)  | -----   | 8-10 |
| 13                  | ADVANCED MANNED AND UNMANNED MISSION STUDIES                                      |      |
| [8100]<br>(N 24-16) | -----   | 8-11 |
| 14                  | SUMMARY PROGRESS REPORTS (R&D)  |      |
| [8100]              | -----   | 8-11 |
| 15                  | PIONEER SPACECRAFT RECORDS  |      |
| [8100]              | -----   | 8-12 |
| 16                  | PROJECT CONTROL FILES   |      |
| [8120]<br>(N 1-24)  | -----   | 8-14 |
| 17                  | R&D EXPERIMENTAL PROJECTS DATA FILES  |      |
| [8200]<br>(N 25-4)  | -----   | 8-14 |
| 18                  | ATMOSPHERIC SCIENCE DATA (KSC ONLY)   |      |
| [8200]              | -----   | 8-15 |
| 19                  | PLANETARY GEOSCIENCE PROGRAM RECORDS  |      |
| [8200]              | -----   | 8-16 |
| 20                  | TECHNICAL ENGINEERING PUBLICATIONS FILES  |      |
| [8200]<br>(N 24-19) | -----   | 8-16 |
| 21                  | LABORATORY NOTEBOOKS (R&D)  |      |
| [8200]<br>(N 25-3)  | -----   | 8-17 |



|                     |  |      |
|---------------------|--|------|
| 22                  | TRACKING AND DATA ACQUISITION - PROJECT MINITRACK<br>ANALOG CHARTS             |      |
| [8400]<br>(N 25-5)  | -----  | 8-17 |
| 23                  | GROUND NETWORK PROGRAM. FILES  |      |
| [8400]              | -----  | 8-18 |
| 24                  | OPERATING BRIEFING FILES (R&D)   |      |
| [8600]<br>(N 24-7)  | -----  | 8-19 |
| 25                  | MISSION OPERATIONS   |      |
| [8600]<br>(N 26-10) | -----  | 8-20 |
| 26                  | FLIGHT READINESS FILES (MSFC ONLY)   |      |
| [8600]              | -----  | 8-29 |
| 27                  | FLIGHT DATA FILES (FDF) RECORDS  |      |
| [8600]              | -----  | 8-30 |
| 28                  | CONTRACTOR PERFORMANCE EVALUATION REPORT FILES<br>R&D PROJECT NASA/DOD         |      |
| [8610]<br>(N 25-8)  | -----  | 8-30 |
| 29                  | OPERATIONS PROGRAM PROGRESS REPORT FILES - R&D                                 |      |
| [8610]<br>(N 24-17) | -----  | 8-31 |
| 30                  | STS 51-L DATA REPOSITORY RECORDS   |      |
| [8621]              | -----  | 8-31 |
| 31                  | AUDIO TAPES - MANNED FLIGHTS/GROUND CONTROL                                    |      |
| [8640]<br>(N 26-9)  | -----  | 8-31 |
| 32                  | AIRCRAFT CREW MEMBERS QUALIFICATIONS AND<br>PERFORMANCE RECORDS - NASA 10 ACMQ |      |
| [8650]              | -----  | 8-32 |



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| 33                   | KENNEDY SPACE CENTER (KSC) SHUTTLE TRAINING<br>CERTIFICATION SYSTEM (YC 04) - NASA 76 STCS |      |
| [8650]               | -----  | 8-32 |
| 34                   | JOHNSON SPACE CENTER (JSC) ASTRONAUT TRAINING<br>RECORDS                                   |      |
| [8650]               | -----  | 8-32 |
| 35                   | ASTRONAUT SELECTION DATABASE (ELECTRONIC)  |      |
| [8650]               | -----  | 8-32 |
| 36                   | PAYLOAD PROCESSING DOCUMENTATION (KSC ONLY)  |      |
| [8680]               | -----  | 8-33 |
| 37                   | OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION<br>(OSHA) CITATION FILES                     |      |
| [8720]               | -----  | 8-34 |
| 38                   | RADIOACTIVE MATERIALS INSPECTION AND TEST FILES  |      |
| [8700]<br>(N 21-12)  | -----  | 8-35 |
| 39                   | RADIATION MONITORING AND DISPOSAL FILES  |      |
| [8700]<br>(N 21-13)  | -----  | 8-35 |
| 40                   | RADIOACTIVE MATERIALS LICENSE FILES  |      |
| [8700]<br>(N 21 -11) | -----  | 8-35 |
| 41                   | HEALTH AND MEDICAL CASE HISTORIES OF ASBESTOS<br>WORKERS                                   |      |
| [8720]<br>(N 11-4d)  | -----  | 8-35 |
| 42                   | ASBESTOS RECORDS   |      |
| [8800]               | -----  | 8-35 |



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| 43        | ENVIRONMENTAL RECORDS   |      |
| [8800]    |   |      |
| (N 18-13) | -----   | 8-36 |
| 44        | WIND TUNNEL FILES   |      |
| [8800]    |   |      |
|           | -----   | 8-39 |
| 45        | FACILITIES PROJECT CASE FILES   |      |
| [8800]    |   |      |
| (N 18-11) | -----   | 8-40 |
| 46        | PLANT ACCOUNTING FILES  |      |
| [8800]    |   |      |
| (N 5-1)   | -----   | 8-40 |
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| [8810]    |   |      |
| (N 18-3)  | -----   | 8-40 |
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| (N 18-1)  | -----   | 8-43 |
| 49        | HOUSE APPLICATION FILES   |      |
| [8814]    |   |      |
| (N 15-31) | -----   | 8-44 |
| 50        | WALLOPS FLIGHT FACILITY BASE HOUSING TENANT<br>RECORDS - NASA 53 BHTR |      |
| [8814]    |   |      |
|           | -----   | 8-44 |
| 51        | WHITE SANDS TEST FACILITY FEDERAL HOUSING<br>ADMINISTRATION (FHA) 809 |      |
| [8814]    | HOUSING PROGRAM - NASA 73 FHAP  |      |
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| 52        | SHOP PLANNING AND LAYOUT FILES  |      |
| [8820]    |   |      |
| (N 20-10) | -----   | 8-44 |



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| 53        | FEDERAL STRUCTURES DESIGN FILES                                 |      |
| [8820]    |   |      |
| (N 19-10) | -----   | 8-44 |
| 54        | CofF CONSTRUCTION/DESIGN FILES - CORP OF ENGINEER<br>(KSC ONLY) |      |
| [8820]    |   |      |
|           | -----   | 8-46 |
| 55        | CofF PROJECTS FINAL REPORTS                                     |      |
| [8820]    |   |      |
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| 56        | REPAIR AND UTILITY FILES  |      |
| [8830]    |   |      |
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| (N 18-14) | -----   | 8-46 |
| (N 18-15) | -----   | 8-46 |
| 57        | ASTRONAUT MEDICAL REPORTS/RECORDS                               |      |
| [8900]    |   |      |
| (N 11-4c) | -----   | 8-47 |
| 58        | MEDICAL RECORDS - TEST SUBJECTS                                 |      |
| [8900]    |   |      |
|           | -----   | 8-47 |



## FINANCIAL MANAGEMENT AND INSPECTOR GENERAL — SCHEDULE 9

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| 1<br>[9000]<br>(N 2-1)             | ACCOUNTABLE OFFICERS' RETURNS<br>-----  | 9-1        |
| 2<br>[9000]                        | AGENCY BUDGET REQUEST FILES<br>-----  | 9-2        |
| 3<br>[9000]                        | NASA ACCOUNTING AND FINANCIAL INFORMATION SYSTEMS<br>(NAFIS)<br>-----                     | 9-2        |
| 4<br>[9000]<br>(N 24-3)            | R&D PROGRAM/PROJECT STATUS REPORTS (PSR)<br>COST/SCHEDULES<br>-----                       | 9-3        |
| 5<br>[9050]<br>(N 2-5)<br>(N 1-41) | FUND FILES<br>-----<br>-----  | 9-3<br>9-3 |
| 6<br>[9050]                        | NASA EXCHANGE - PERSONNEL, PAYROLL, AND FINANCIAL<br>RECORDS<br>-----                     | 9-3        |
| 7<br>[9090]                        | REIMBURSABLE AGREEMENTS - FINANCIAL<br>-----  | 9-5        |
| 8<br>[9100]<br>(N 7-2)             | APPORTIONMENT SCHEDULES - AGENCY WIDE CODING<br>STRUCTURE<br>ALSO SEE SCHEDULE 7<br>----- | 9-5        |



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|----------|--|-----|
| 9        | ACCOUNTING RECORDS                               |     |
| [9200]   |  |     |
| (N 5-5)  | -----  | 9-6 |
| (N 5-6)  | -----  | 9-6 |
| (N 1-18) | -----  | 9-6 |
| 10       | SIGNATURE AUTHORITY FILES                        |     |
| [9210]   |  |     |
|          | -----  | 9-6 |
| 11       | GENERAL LEDGER - ACCOUNTING                      |     |
| [9220]   |  |     |
| (N 3-1)  | -----  | 9-7 |
| (N 3-6)  | -----  | 9-7 |
| 12       | ALLOTMENT/APPROPRIATION FILES                    |     |
| [9230]   |  |     |
| (N 3-2)  | -----  | 9-7 |
| 13       | EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES |     |
| [9280]   |  |     |
| (N 3-3)  | -----  | 9-7 |
| 14       | FINANCIAL STATUS REPORTS                         |     |
| [9300]   |  |     |
| (N 3-4)  | -----  | 9-8 |
| (N 3-5)  | -----  | 9-8 |
| (N 7-9)  | -----  | 9-8 |
| 15       | CERTIFICATES OF SETTLEMENT FILES                 |     |
| [9600]   |  |     |
| (N 2-3)  | -----  | 9-9 |
| (N 2-4)  | -----  | 9-9 |
| 16       | TAX FILES  |     |
| [9620]   |  |     |
| (N 4-14) | -----  | 9-9 |
| (N 4-12) | -----  | 9-9 |
| (N 4-13) | -----  | 9-9 |



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|-----------|--|------|
| 17        | PAYROLL RECORDS  |      |
| [9620]    |  |      |
| (N 4-1)   | -----  | 9-9  |
| (N 4-7)   | -----  | 9-10 |
| (N 4-6)   | -----  | 9-10 |
| (N 4-8)   | -----  | 9-10 |
| 18        | ACCOUNTING ADMINISTRATIVE FILES                            |      |
| [9630]    |  |      |
| (N 2-6)   | -----  | 9-11 |
| 19        | NONCOMMERCIAL REIMBURSABLE TRAVEL/PASSENGER FILES          |      |
| [9630]    |  |      |
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| (N 22-2)  | -----  | 9-11 |
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| [9730]    |  |      |
|           | -----  | 9-11 |
| 21        | PASSPORTS ISSUANCE/CONTROL FILES                           |      |
| [9730]    |  |      |
|           | -----  | 9-12 |
| 22        | IMPREST FUND   |      |
| [9791]    |  |      |
|           | -----  | 9-12 |
| 23        | INSPECTOR GENERAL INVESTIGATIONS CASE FILES - NASA 10 IGIC |      |
| [9900]    | -----  | 9-13 |
| 24        | AUDIT FILES  |      |
| [9910]    |  |      |
| (N 17-16) | -----  | 9-14 |
| (N 6-2)   | -----  | 9-14 |
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| [9910]    |  |      |
|           | -----  | 9-14 |
| 26        | SEMIANNUAL REPORT TO CONGRESS                              |      |
| [9910]    |  |      |
|           | -----  | 9-15 |



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| 27      | INDEXES TO CASE FILES |      |
| [9910]  | -----                 | 9-15 |
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| [9920]  | -----                 | 9-15 |
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| 29      | AUDITS OF CONTRACTORS |      |
| [9950]  | -----                 | 9-16 |
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# APPENDIX A

## Agency Filing Scheme (AFS)

### July 2000 Version

Some file subjects and series descriptions have been modified and new ones added. Some AFS#s have been added.

This AFS is controlled by Code AO/NASA Headquarters and is the mandatory filing scheme for use within NASA.

This document is updated frequently, therefore, printed copies may be obsolete, refer to the Change History Log at the beginning of NPG 1441.1 in the NASA Online Directives Information System (NODIS) for current version.



## AFS Change History

| Change # | Code | Approved | Description/Comments  |
|----------|------|----------|---|
| 1        | Q    | 12/15/98 | Change Occupational Safety and Health Program Application (OSHA) # to 8715 from 8720<br>Change Reliability, Availability, and Maintainability Policy # to 8720 from 8730<br>Change Quality Management # to 8730 from 8740<br>Leave AFS # 8740 blank for future use  |
| 2        | F    | 12/15/98 | Set up AFS # 1080 as "Generate Knowledge"<br>Set up AFS # 1090 as "Communicate Knowledge"   |
| 3        | AO   | 12/15/98 | Set up AFS # 1280 as "Quality Management Systems" for Administrative Internal Systems   |
| 4        | W    | 5/10/99  | Set up AFS # 9880 as "Computer Crimes"  |
| 5        | JE   | 12/20/99 | Establish 8500 through 8590 as Environmental Subjects<br>Change National Environmental Policy Act (NEPA) # to 8580 from 8840<br>Leave AFS # 8840 blank for future use<br>Change Environmental Management # to 8500 from 8870<br>Leave AFS # 8870 blank for future use   |
| 6        | AO   | 12/20/99 | Add (e.g. NASA Strategic Plan) to 1000 General<br>Add (e.g., NASA Alumni League) to 1330 Independent Establishments.<br>Add STI Databases to 2220 Publications Program / STI Databases<br>Set up AFS # 2210 as "External Release of NASA Software"<br>Change AFS # 2820 subject to "NASA Software Policies"<br>Set up AFS # 3317 as "Senior Executive Service Career Appointee Merit Staffing"<br>Set up AFS # 3319 as "Management of Senior Scientific and Technical and Other Senior Level Positions"<br>Set up AFS # 7330 as "Facility Projects, Approval Authorities"<br>Set up AFS # 9500 as "Contractor Financial Management Reporting" |
| 7        | AO   | 12/27/99 | Change Document Format from 2 tables a page to 1 table a page   |
| 8        | HK   | 7/31/00  | AFS# 5100 to 5199 Subjects updated to match Federal Acquisition Regulation titles.  |
| 9        | CIC  | 7/31/00  | Change AFS # 1102 to "HQ Institutional Program Office(s) and Enterprise Office(s) Organization"<br>Change AFS # 1103 to "Operating Relationships"<br>Change AFS # 1107 to "Field Center Organization"<br>Change AFS # 1322 to "Executive Office of the President (OSTP)"<br>Change AFS # 1357 to "Unsolicited Proposals"<br>Change AFS # 1371 to "Foreign Nationals Access To NASA"<br>Change AFS # 2100 to "Technology Utilization (including Small Business Innovative Research (SBIR))"<br>Change AFS # 9050 to "Cash Management - Administrative Control of Appropriations and Funds"   |

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PRIMARY  
SECONDARY  
AND TERTIARY  
AFS #

FILE SUBJECT / SERIES DESCRIPTION

|                    |  |  |
|--------------------|--|--|
| <b>1000 - 1999</b> | <b>ORGANIZATION AND GENERAL ADMINISTRATION</b>                           |  |
| <b>1000</b>        | <b>General (e.g., NASA Strategic Plan)</b>                               |  |
| 1010               | Agency Establishment   |  |
| 1011               | Legislative Authority  |  |
| 1012               | Executive Authority  |  |
| 1020               | NASA Seal, Insignia, Logotype, Identifiers, Flags                        |  |
| 1022               | Names, Symbols   |  |
| 1030               | Honors and Ceremonies (Acceptance)                                       |  |
| 1040               | Emergency Preparedness / Planning and Mobilization                       |  |
| 1041               | Civil Defense  |  |
| 1042               | Emergency Warden Organization  |  |
| 1043               | Fallout and Fallout Shelter  |  |
| 1044               | Casualty Reporting   |  |
| 1046               | Mobilization Readiness   |  |
| 1050               | Agreements/Memoranda of Understanding                                    |  |
| 1054               | Foreign Governments  |  |
| 1056               | Non — Government   |  |
| 1058               | Intra — Agency Agreements  |  |
| 1060               | Consultants  |  |
| 1070               | History Program  |  |
| 1080               | Generate Knowledge   |  |
| 1090               | Communicate Knowledge  |  |
| <b>1100</b>        | <b>Organizational Structure</b>  |  |
| 1101               | NASA Organization and Definition of Terms                                |  |
| 1102               | HQ Institutional Program Office(s) and Enterprise Office(s) Organization |  |
| 1103               | HQ Functional Office(s)  |  |
| 1107               | Field Center Organization  |  |
| 1110               |  |  |
| 1120               | General Organization Responsibilities                                    |  |
| 1130               | Operating Relationships  |  |
| 1140               |  |  |
| 1150               | Committees/Boards/Councils/Panels/Working Groups                         |  |
| 1152               | Intra-Agency   |  |
| 1154               | Inter-Agency   |  |
| 1156               | Advisory Committees/Groups   |  |
| 1160               | Special Lines of Succession  |  |
| 1162               | Delegation of Authority To Act For The Administrator                     |  |
| 1170               | Inventions and Contributions Board                                       |  |
| 1180               | NASA Board of Contract Appeals   |  |
| 1190               |  |  |
| <b>1200</b>        | <b>Internal Management Controls</b>                                      |  |
| 1210               | Fundamental Principles   |  |
| 1216               | Work Management  |  |
| 1220               | Role of General Management   |  |
| 1230               | Program Management   |  |
| 1240               | Functional Management  |  |
| 1250               | Institutional Management   |  |
| 1260               | Budget (Management of)   |  |

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|-------------|--|--|
| 1270        | Productivity and Quality Enhancement - TQM             |  |
| 1271        | National Partnership for Reinventing Government        |  |
| 1272        | Government Performance Results Act (GPRA)              |  |
| 1280        | Quality Management Systems                             |  |
| 1290        |  |  |
| <b>1300</b> | <b>External Relationships</b>                          |  |
| 1305        | Escort Services  |  |
| 1310        | Legislative Branch                                     |  |
| 1311        | Congress   |  |
| 1312        | General Accounting Office (GAO)                        |  |
| 1313        | Government Printing Office (GPO)                       |  |
| 1314        | Library of Congress                                    |  |
| 1315        | Judicial Branch  |  |
| 1316        | Supreme Court of the United States                     |  |
| 1320        | Executive Branch                                       |  |
| 1321        | White House Referrals                                  |  |
| 1322        | Executive Office of the President (OSTP)               |  |
| 1323        | Office of Management and Budget (OMB)                  |  |
| 1324        | Office of Personnel Management (OPM)                   |  |
| 1325        | Executive Agencies/ Departments                        |  |
| 1328        | Department of Defense                                  |  |
| 1330        | Independent Establishments and Government Corporations |  |
| 1340        | State and Local Government                             |  |
| 1350        | Nongovernmental Organizations                          |  |
| 1355        | University Affairs                                     |  |
| 1356        | General NASA University Policy and Relationships       |  |
| 1357        | Unsolicited Proposals                                  |  |
| 1358        | Functional Management of University Programs           |  |
| 1359        | University R&D Support                                 |  |
| 1360        | International Affairs/Programs                         |  |
| 1362        | Cooperative Projects                                   |  |
| 1365        | International Organizations                            |  |
| 1367        | Support of Overseas Operations                         |  |
| 1370        | Foreign Visits and Visitors                            |  |
| 1371        | Foreign Nationals Access to NASA                       |  |
| 1373        | NASA Travel Abroad                                     |  |
| 1374        | International Fellowships                              |  |
| 1376        | Resident Research Associateships                       |  |
| 1378        | Training of Foreign Nationals                          |  |
| 1380        | Public Affairs   |  |
| 1382        | Release of Information                                 |  |
| 1383        | Audio Visual News Material                             |  |
| 1384        | Public Appearances                                     |  |
| 1385        | Speeches and Speakers                                  |  |
| 1387        | Exhibits   |  |
| 1389        | Conferences  |  |
| 1390        | Education Programs General                             |  |
| 1392        | Educational Programs                                   |  |
| 1394        | Educational Services                                   |  |
| 1395        | Foreign Government Awards                              |  |

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| <b>1400</b> | <b>Administrative Management Programs</b> |  |
| 1410        | Directives Management                     |  |
| 1412        | Office of the Federal Register            |  |
| 1415        | Reports Management                        |  |
| 1420        | Forms Management                          |  |
| 1430        | Visual Aids Management                    |  |
| 1440        | Records Management                        |  |
| 1441        | Records Disposition                       |  |
| 1442        | Files Maintenance                         |  |
| 1450        | Correspondence Management                 |  |
| 1451        | Executive Instructions on Correspondence  |  |
| 1460        | Mail Management                           |  |
| 1470        | Management Improvement                    |  |
| 1472        | Work Measurement & Simplification         |  |
| 1480        | Publications Management                   |  |
| 1490        | Printing Management                       |  |
| <b>1500</b> | <b>Administrative Services</b>            |  |
| 1510        |   |  |
| 1520        | Graphics                                  |  |
| 1521        | Visual Aids                               |  |
| 1530        |   |  |
| 1540        | Building and Grounds Management           |  |
| 1541        | Transportation and Parking Services       |  |
| 1542        | Conference Rooms and Auditoriums          |  |
| 1550        | General Office Services                   |  |
| 1551        | Internal Mail/Messenger Service           |  |
| 1552        | Clerical and Stenographic                 |  |
| 1553        | Moving and Labor                          |  |
| 1560        |   |  |
| 1570        | Office Supplies                           |  |
| 1571        | Office Equipment and Furnishings          |  |
| 1580        | Telephone (Local)                         |  |
| 1590        | Miscellaneous Matters                     |  |
| <b>1600</b> | <b>Security</b>                           |  |
| 1610        | Personnel Security                        |  |
| 1620        | Physical Security                         |  |
| 1630        | Control of Classified Information         |  |
| 1640        | Security Classifications                  |  |
| 1650        | Industrial Security                       |  |
| 1660        |   |  |
| 1670        | Security Education                        |  |
| 1680        | Visitor and Foreign Travel Control        |  |
| 1690        | Security Surveys                          |  |
| <b>1700</b> | <b>Safety</b>                             |  |
| 1701        | Basic Policy                              |  |
| 1710        | Safety/Accident Prevention                |  |
| 1711        | Accident Reporting & Investigation        |  |
| 1712        | Injury Reporting                          |  |
| 1720        | Accident/Mishap Reporting                 |  |
| 1730        | Protective Clothing and Equipment         |  |

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| 1740             | Safety Standards                        |  |
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| 1790             |   |  |
| <b>1800</b>      | <b>Occupational Health</b>              |  |
| 1810             | Professional Medical Services           |  |
| 1812             | Medicines                               |  |
| 1814             | Clinical Facilities                     |  |
| 1815             | Narcotics and Drugs                     |  |
| 1820             | Preventive Medicine                     |  |
| 1830             | Physical Fitness                        |  |
| 1840             | Industrial Hygiene                      |  |
| 1845             | Health Standards                        |  |
| 1850             | Toxicology                              |  |
| 1852             | Advisory Center on Toxicology           |  |
| 1860             | Radiological Health                     |  |
| 1870             | Environmental Sanitation                |  |
| 1880             | Entomology                              |  |
| 1890             | Disaster Medical Planning               |  |
| <b>1900</b>      | <b>Standards of Conduct</b>             |  |
| 1910             | Ethics                                  |  |
| 1920             |   |  |
| 1930             |   |  |
| 1940             |   |  |
| 1950             |   |  |
| 1960             |   |  |
| 1970             |   |  |
| 1980             |   |  |
| 1990             |   |  |
| <b>2000-2999</b> | <b>LEGAL AND TECHNICAL</b>              |  |
| <b>2000</b>      | <b>General (Laws And Legal Matters)</b> |  |
| 2001             | Litigation                              |  |
| 2010             | Law                                     |  |
| 2011             | Civil Law                               |  |
| 2012             | Criminal Law                            |  |
| 2013             | Administrative Law                      |  |
| 2014             | Procedural Law                          |  |
| 2015             | Federal Law                             |  |
| 2016             | State Law                               |  |
| 2017             | Foreign Law                             |  |
| 2018             | International Law                       |  |
| 2019             | Statute Law                             |  |
| 2020             | Case Law                                |  |
| 2030             | Legal Assistance                        |  |
| 2040             | Taxes, Customs, and Duties              |  |
| 2045             | Service of Process (Subpoena)           |  |
| 2050             | Courts, Boards, and Arbitration         |  |
| 2055             | Garnishment                             |  |

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| 2060        | Codifications and Citations   |  |
| 2070        | Interpretations   |  |
| 2080        | Claims  |  |
| 2082        | Tort Claims   |  |
| 2084        | Contract Claims   |  |
| 2086        | False or Fraud Claims   |  |
| 2087        | Debt Claims   |  |
| 2090        | Civil Rights  |  |
| 2091        | Inventions Made by Government Employee  |  |
| 2092        | Royalties Received by NASA  |  |
| <b>2100</b> | <b>Technology Utilization (including Small Business Innovative Research (SBIR))</b> |  |
| 2110        | Programs and Policies   |  |
| 2120        | Flash Sheets  |  |
| 2121        | Appraisal and Evaluating  |  |
| 2130        | Tech Briefs   |  |
| 2131        | Tech Briefs Distribution  |  |
| 2140        | Patent Statements   |  |
| 2150        | Reporting Industrial Applications   |  |
| 2160        | Information and Application Centers   |  |
| 2170        | New Technology Management   |  |
| 2180        | Technology Transfer   |  |
| 2190        | Export Control  |  |
| <b>2200</b> | <b>Scientific and Technical Information</b>   |  |
| 2210        | External Release of NASA Software   |  |
| 2220        | Publications Program / STI Databases  |  |
| 2230        |   |  |
| 2240        | Library Program   |  |
| 2242        | GALAXIE (NASA-wide Library System, ARIN replacement)                                |  |
| 2250        | Exchange Program  |  |
| 2252        | Domestic Exchanges  |  |
| 2254        | International Exchanges   |  |
| 2260        | User Services   |  |
| 2262        | Announcement / Current Awareness  |  |
| 2264        | Document Delivery   |  |
| 2268        | Translations  |  |
| 2270        | Document Operations   |  |
| 2272        | Abstracting / Indexing  |  |
| 2274        | Distribution / Availability   |  |
| 2276        | Thesaurus   |  |
| 2280        | Specifications and Standards  |  |
| 2290        | Program Office Projects   |  |
| <b>2300</b> | <b>Management Information Systems</b>   |  |
| 2305        | General Policies and Procedures   |  |
| 2310        | Information Resources Management  |  |
| 2314        | Documentation Management Systems  |  |
| 2320        | Presentations and Reviews (Management)  |  |
| 2330        | Planning and Scheduling Systems   |  |
| 2332        | NASA PERT and Companion Cost  |  |
| 2334        | Line of Balance   |  |

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| 2336        | Milestone Systems  |  |
| 2340        | Project Status Reporting   |  |
| 2350        | AIM Program  |  |
| 2360        | Government Information Locator Service(GILS) / Electronic Data Interchange (EDI) |  |
| 2370        |  |  |
| 2380        |  |  |
| 2390        |  |  |
| <b>2400</b> | <b>AUTOMATIC DATA PROCESSING (ADP) MANAGEMENT</b>                                |  |
| 2410        | Policies and Procedures  |  |
| 2415        | Computer Program Documentation   |  |
| 2420        | Data Reduction and Interpretation  |  |
| 2430        | Equipment Utilization and Control  |  |
| 2440        | Data Display   |  |
| 2450        | Personnel Management   |  |
| 2460        |  |  |
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| 2490        |  |  |
| <b>2500</b> | <b>Communications</b>  |  |
| 2510        | General  |  |
| 2520        | NASA Communications System   |  |
| 2530        | Telecommunications and Messages  |  |
| 2540        | Administrative Communications  |  |
| 2550        | Cryptography   |  |
| 2560        |  |  |
| 2570        | Radio Frequency Management   |  |
| 2580        |  |  |
| 2590        |  |  |
| <b>2600</b> | <b>Photographic Services Management</b>  |  |
| 2610        | Equipment, Supplies, and Attachments   |  |
| 2620        | Photographic Instrumentation   |  |
| 2630        | Photography Services   |  |
| 2640        | Projectors and Operator Services   |  |
| 2650        |  |  |
| 2660        |  |  |
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| 2690        |  |  |
| <b>2700</b> |  |  |
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| <b>2800</b>      | <b>Information Technology (IT) Management</b>                                |  |
| 2810             | IT Security  |  |
| 2820             | NASA Software Policies   |  |
| 2830             |  |  |
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| 2880             |  |  |
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| <b>2900</b>      |  |  |
| 2910             |  |  |
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| 2980             |  |  |
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| <b>3000-3999</b> | <b>HUMAN RESOURCES / PERSONNEL</b>   |  |
| <b>3000</b>      | <b>Human Resources/Personnel (General)</b>                                   |  |
| 3010             |  |  |
| 3020             |  |  |
| 3030             |  |  |
| 3040             |  |  |
| 3050             | Equal Opportunity  |  |
| 3060             |  |  |
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| 3080             |  |  |
| 3090             |  |  |
| <b>3100</b>      | <b>Executive Human Resources Management (Senior Executive Service (SES))</b> |  |
| 3110             |  |  |
| 3120             |  |  |
| 3130             |  |  |
| 3140             |  |  |
| 3150             |  |  |
| 3160             |  |  |
| 3170             |  |  |
| 3180             |  |  |
| 3190             |  |  |
| <b>3200</b>      | <b>Personnel Provisions (General)</b>  |  |
| 3210             | Basic Concepts and Definitions   |  |
| 3211             | Veteran s Preference   |  |
| 3212             | Competitive Service and Status   |  |
| 3213             | Excepted Service   |  |
| 3220             |  |  |
| 3230             | Organization of the Government for Personnel Management                      |  |
| 3240             |  |  |

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| 3250        | Personnel Management in Agencies  |  |
| 3260        |   |  |
| 3270        | Direction and Control of the Personnel Program  |  |
| 3271        | Developing Policies, Procedures, Program, and Standards   |  |
| 3272        | Personnel Policy Formulation and Personnel Issuances  |  |
| 3273        | Inspections, Surveys, and Audits  |  |
| 3274        | Corrective Actions  |  |
| 3275        | Evaluation of Personnel Programs  |  |
| 3280        | Military Personnel  |  |
| 3290        | Personnel Records and Processing  |  |
| 3291        | Personnel Reports   |  |
| 3292        | Development of Personnel Statistics   |  |
| 3293        | Personnel Records and Files   |  |
| 3294        | Release of Personnel Information  |  |
| 3295        | Personnel Forms and Documents   |  |
| 3296        | Processing Personnel Actions  |  |
| <b>3300</b> | <b>Employment (General)</b>   |  |
| 3301        | Overseas Employment   |  |
| 3302        | Employment in the Excepted Services   |  |
| 3303        | Military Service Obligation and Draft Deferment   |  |
| 3304        | Employment of Experts and Consultants   |  |
| 3305        | Dual Employment and Dual Compensation   |  |
| 3306        | Personal Service Contracts  |  |
| 3307        | Detainees   |  |
| 3310        | Authority for and Tenure of Employment  |  |
| 3311        | Power of Appointment and Removal  |  |
| 3312        | Position Control  |  |
| 3315        | Career and Career-Conditional Employment  |  |
| 3316        | Temporary and Indefinite Employment   |  |
| 3317        | Senior Executive Service Career Appointee Merit Staffing  |  |
| 3319        | Management of Senior Scientific and Technical and Other Senior Level Positions                    |  |
| 3320        |   |  |
| 3330        | Recruitment, Selection, and Placement   |  |
| 3331        | Organization for Recruitment and Examining  |  |
| 3332        | Recruitment and Selection Through Competitive Examination   |  |
| 3333        | Recruitment and Selection for Temporary and Term Appointment Outside the Register                 |  |
| 3334        | Personnel Mobility Agreements Under Title IV of the Intergovernmental Personnel Act (IPA) of 1970 |  |
| 3335        | Promotion and Internal Placement  |  |
| 3337        | Examining System  |  |
| 3338        | Qualification Requirements — General  |  |
| 3339        | Qualification Requirements — Medical  |  |
| 3340        | Transfers   |  |
| 3350        | Job Retention   |  |
| 3351        | Reduction in Force (RIF)  |  |
| 3352        | Reemployment Rights   |  |
| 3353        | Restoration after Military Duty   |  |
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| <b>3400</b> | <b>Employee Performance and Utilization</b>                          |  |
| 3410        | Employee Development (Training)                                      |  |
| 3420        |  |  |
| 3430        | Performance Evaluation (Appraisals)                                  |  |
| 3440        |  |  |
| 3450        | Employee Recognition and Incentives                                  |  |
| 3451        | Incentive Awards   |  |
| 3452        | Suggestion System  |  |
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| <b>3500</b> | <b>Position Classification, Pay, and Allowances</b>                  |  |
| 3510        | Position Classification and Job Evaluation                           |  |
| 3511        | Position Classification Under the Classification Act System          |  |
| 3512        | Job Evaluation Under Prevailing Rate System                          |  |
| 3513        | Employee Classification Appeals                                      |  |
| 3515        | Classification — Excepted Positions                                  |  |
| 3520        |  |  |
| 3530        | Pay Rates and Systems (General)                                      |  |
| 3531        | Pay Under the Classification Act System                              |  |
| 3532        | Pay Under Prevailing Rate System                                     |  |
| 3534        | Pay Under Other Systems  |  |
| 3537        | Critical Position Pay Authority                                      |  |
| 3539        | Conversions Between Pay Systems                                      |  |
| 3540        |  |  |
| 3550        | Pay Administration (General)   |  |
| 3553        | Waiver of Pay/Retirement Reduction for Military or Civilian Retirees |  |
| 3560        |  |  |
| 3570        |  |  |
| 3571        | Travel and Transportation for Recruitment                            |  |
| 3580        |  |  |
| 3590        | Allowances and Differentials   |  |
| 3591        | Allowances and Differentials Payable in Non-Foreign Areas            |  |
| 3592        | Overseas Allowances and Post Differentials                           |  |
| 3593        | Subsistence, Quarters, and Laundry                                   |  |
| 3594        | Allowances for Uniforms  |  |
| <b>3600</b> | <b>Time and Attendance</b>   |  |
| 3610        | Hours of Duty  |  |
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| 3690             |  |  |
| <b>3700</b>      | <b>Personnel Relations and Services</b>              |  |
| 3710             | Personnel Relations                                  |  |
| 3711             | Employee Management Relations                        |  |
| 3712             | Employee Organization and Activities                 |  |
| 3713             | Nondiscrimination                                    |  |
| 3715             | Nondisciplinary Separations, Demotions and Furloughs |  |
| 3720             |  |  |
| 3730             | Suitability and Conduct                              |  |
| 3731             | Suitability  |  |
| 3733             | Political Activities of Federal Employees            |  |
| 3734             | Holding State or Local Office                        |  |
| 3735             | Employee Responsibilities and Conduct                |  |
| 3736             | Employee Investigations                              |  |
| 3740             |  |  |
| 3750             | Discipline and Adverse Actions                       |  |
| 3751             | Discipline   |  |
| 3752             | Adverse Actions                                      |  |
| 3760             |  |  |
| 3770             | Remedies   |  |
| 3771             | Employee Grievances and Administrative Appeal        |  |
| 3772             | Appeals to the Commission                            |  |
| 3780             |  |  |
| 3790             | Services to Employees (General)                      |  |
| 3792             | Employee Assistance Program                          |  |
| <b>3800</b>      | <b>Insurance and Annuities</b>                       |  |
| 3810             | Injury Compensation                                  |  |
| 3820             |  |  |
| 3830             | Retirement and Social Security                       |  |
| 3831             | Retirement   |  |
| 3832             | Old Age and Survivors Insurance                      |  |
| 3840             |  |  |
| 3850             | Unemployment Compensation                            |  |
| 3860             |  |  |
| 3870             | Group Life Insurance                                 |  |
| 3880             |  |  |
| 3890             | Group Health Insurance                               |  |
| <b>3900</b>      | <b>General and Miscellaneous</b>                     |  |
| 3910             |  |  |
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| 3930             | Programs for Specific Positions and Examinations     |  |
| 3933             | Qualification Requirements for Specific Positions    |  |
| 3938             | Classification and Pay for Specific Positions        |  |
| 3940             | Charity Drives, Contributions, and Solicitations     |  |
| 3950             | Credit Unions and Banking Facilities                 |  |
| 3960             | United States Savings Bonds                          |  |
| 3970             | Space Flight Participants                            |  |
| 3980             |  |  |
| 3990             |  |  |
| <b>4000-4999</b> | <b>PROPERTY AND SUPPLY</b>                           |  |

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| <b>4000</b> | <b>Property and Supply (General)</b>                           |  |
| 4010        | Government Property Responsibility                             |  |
| 4020        | Property Surveys -- Lost, Damaged, and Destroyed               |  |
| 4030        | Workload and Planning  |  |
| 4040        | Supply Sampling  |  |
| 4050        | Sources of Supply  |  |
| 4060        | Returnable Containers  |  |
| 4070        |  |  |
| 4080        |  |  |
| 4090        |  |  |
| <b>4100</b> | <b>Inventory Management (General)</b>                          |  |
| 4110        | Criteria for Inventory   |  |
| 4120        | Management of Stores Stock                                     |  |
| 4130        | Physical Inventory   |  |
| 4140        |  |  |
| 4150        |  |  |
| 4160        |  |  |
| 4170        |  |  |
| 4180        |  |  |
| 4190        |  |  |
| <b>4200</b> | <b>Equipment Management (General)</b>                          |  |
| 4210        | Property Accountability and Controls                           |  |
| 4220        | Use and Replacement Standards for Office Furniture/Furnishings |  |
| 4230        |  |  |
| 4240        |  |  |
| 4250        |  |  |
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| 4270        |  |  |
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| 4290        |  |  |
| <b>4300</b> | <b>Utilization and Disposal</b>                                |  |
| 4310        | Utilization and Excess   |  |
| 4320        | Disposal of Surplus and Personal Property                      |  |
| 4330        |  |  |
| 4340        | Disposal of Property at Foreign Offices                        |  |
| 4350        | Exchange and Sale of Property                                  |  |
| 4360        | Reporting of Excess and Surplus Property                       |  |
| 4370        | Cannibalization of Equipment                                   |  |
| 4380        |  |  |
| 4390        |  |  |
| <b>4400</b> | <b>Supply Cataloging</b>                                       |  |
| 4410        | Maintenance of Federal Cataloging                              |  |
| 4420        | Provisioning Screening Procedures                              |  |
| 4430        | Local Stock Lists  |  |
| 4440        |  |  |
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| <b>4500</b> | <b>Storage and Distribution</b>    |  |
| 4510        | Storage Standards and Criteria     |  |
| 4520        | Receiving and Inspection Processes |  |
| 4530        | Distribution Processes             |  |
| 4540        |                                    |  |
| 4550        |                                    |  |
| 4560        |                                    |  |
| 4570        |                                    |  |
| 4580        |                                    |  |
| 4590        |                                    |  |
| <b>4600</b> | <b>Expanded Supply Control</b>     |  |
| 4610        | On-Site Working Stores             |  |
| 4620        |                                    |  |
| 4630        |                                    |  |
| 4640        |                                    |  |
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| <b>5000-5999</b> | <b>PROCUREMENT/SMALL BUSINESS /INDUSTRIAL RELATIONS</b>                 |  |
| <b>5000</b>      | <b>Procurement/Small Business/Industrial Relations (General)</b>        |  |
| <b>5100</b>      | <b>Procurement (Contracts) - General</b>                                |  |
| 5101             | Federal Acquisition Regulations (FAR) Systems                           |  |
| 5102             | Definitions of Words and Terms  |  |
| 5103             | Improper Business Practices and Personal Conflicts of Interest          |  |
| 5104             | Administrative Matters  |  |
| 5105             | Publicizing Contract Actions  |  |
| 5106             | Competition Requirements  |  |
| 5107             | Acquisition Planning  |  |
| 5108             | Required Sources of Supplies and Services                               |  |
| 5109             | Contractor Qualifications   |  |
| 5110             | Market Research   |  |
| 5111             | Describing Agency Needs   |  |
| 5112             | Acquisition of Commercial Items   |  |
| 5113             | Simplified Acquisition Procedures                                       |  |
| 5114             | Sealed Bidding  |  |
| 5115             | Contracting by Negotiation  |  |
| 5116             | Types of Contracts  |  |
| 5117             | Special Contracting Methods   |  |
| 5118             | [Reserved per FAR]  |  |
| 5119             | Small Business Programs   |  |
| 5120             | [Reserved per FAR]  |  |
| 5121             | [Reserved per FAR]  |  |
| 5122             | Application of Labor Laws to Government Acquisitions                    |  |
| 5123             | Environment, Conservation, Occupational Safety, and Drug-Free Workplace |  |
| 5124             | Protection of Privacy and Freedom of Information                        |  |
| 5125             | Foreign Acquisition   |  |
| 5126             | Other Socioeconomic Programs  |  |
| 5127             | Patents, Data, and Copyrights   |  |
| 5128             | Bonds and Insurance   |  |
| 5129             | Taxes   |  |
| 5130             | Cost Accounting Standards Administration                                |  |
| 5131             | Contract Cost Principles and Procedures                                 |  |
| 5132             | Contract Financing  |  |
| 5133             | Protests, Disputes, and Appeals   |  |
| 5134             | Major System Acquisition  |  |
| 5135             | Research and Development Contracting                                    |  |
| 5136             | Construction and Architect-Engineer Contracts                           |  |
| 5137             | Service Contracting   |  |
| 5138             | Federal Supply Schedule Contracting                                     |  |
| 5139             | Acquisition of Information Technology                                   |  |
| 5140             | [Reserved per FAR]  |  |
| 5141             | Acquisition of Utility Services   |  |
| 5142             | Contract Administration and Audit Services                              |  |
| 5143             | Contract Modifications  |  |
| 5144             | Subcontracting Policies and Procedures                                  |  |
| 5145             | Government Property   |  |

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| 5146        | Quality Assurance                            |  |
| 5147        | Transportation                               |  |
| 5148        | Value Engineering                            |  |
| 5149        | Termination of Contracts                     |  |
| 5150        | Extraordinary Contractual Actions            |  |
| 5151        | Use of Government Sources by Contractors     |  |
| 5152        | Solicitation Provisions and Contract Clauses |  |
| 5153        | Forms  |  |
| 5160        |  |  |
| 5170        |  |  |
| 5171        | Mid-Range Procurement Procedures             |  |
| 5172        | Acquisition of Investigations                |  |
| 5180        |  |  |
| 5190        |  |  |
| <b>5200</b> | <b>Contractor Labor Relations</b>            |  |
| 5210        | Labor Relations Boards                       |  |
| 5220        | Disputes, Strikes, and Work Stoppages        |  |
| 5230        |  |  |
| 5240        |  |  |
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| <b>5300</b> | <b>Reliability and Quality Assurance</b>     |  |
| 5310        | General Provisions                           |  |
| 5311        | NASA-DOD Relationships                       |  |
| 5320        | Reliability Policies and Programs            |  |
| 5330        | Quality Policies and Programs                |  |
| 5340        | Contamination Control                        |  |
| 5350        |  |  |
| 5360        |  |  |
| 5370        |  |  |
| 5380        |  |  |
| 5390        |  |  |
| <b>5400</b> | <b>Contractor-Held Government Property</b>   |  |
| 5410        |  |  |
| 5420        |  |  |
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| <b>5500</b> | <b>Patent Waiver</b>                         |  |
| 5510        |  |  |
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| 5550             |  |  |
| 5560             |  |  |
| 5570             |  |  |
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| 5590             |  |  |
| <b>5600</b>      | <b>Statement of Work</b>                             |  |
| 5610             | Work Breakdown Structure                             |  |
| 5620             |  |  |
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| 5680             |  |  |
| 5690             |  |  |
| <b>5700</b>      | <b>Awards, Inventions, and Contributions</b>         |  |
| 5710             |  |  |
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| <b>5800</b>      | <b>Grants and Cooperative Agreements</b>             |  |
| 5810             |  |  |
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| <b>5900</b>      | <b>Contractor Financial Management and Reporting</b> |  |
| 5910             |  |  |
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| 5990             |  |  |
| <b>6000-6999</b> | <b>TRANSPORTATION</b>                                |  |
| <b>6000</b>      | <b>Transportation (General)</b>                      |  |
| 6010             | Definition of Terms                                  |  |
| 6020             | Transportation Officers                              |  |
| 6021             |  |  |

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| 6022        | Appointment and Responsibilities                            |  |
| 6030        | Transportation Planning                                     |  |
| 6040        | Relationships with Other Government Agencies                |  |
| 6041        | Participation before Regulatory Agencies                    |  |
| 6050        | Transportation Publications, Records, and Reports           |  |
| 6051        | Preparation of Government Bills of Lading                   |  |
| 6060        |   |  |
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| <b>6100</b> | <b>Commercial Freight Services</b>                          |  |
| 6110        | Freight Rates, Charges and Classification                   |  |
| 6120        | Freight Traffic Negotiations                                |  |
| 6130        | Carrier and Mode Selection                                  |  |
| 6140        | Accessorial Transportation Services                         |  |
| 6150        |   |  |
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| 6170        |   |  |
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| <b>6200</b> | <b>Traffic Management Programs</b>                          |  |
| 6210        | Procurement Traffic Management                              |  |
| 6220        | Loss and Damage in Transit                                  |  |
| 6230        |   |  |
| 6240        |   |  |
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| <b>6300</b> | <b>Transportation of Unusual or Hazardous Cargo</b>         |  |
| 6310        | Export Traffic  |  |
| 6320        | Import Traffic  |  |
| 6330        | Explosives and Other Dangerous Articles                     |  |
| 6340        | Oversize and Overweight Cargo                               |  |
| 6350        | Classified Cargo  |  |
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| 6390        |   |  |
| <b>6400</b> | <b>Preparation and Handling of Cargo</b>                    |  |
| 6410        | Preservation, Packaging, and Packing Supplies and Equipment |  |
| 6420        | Loading, Blocking and Bracing                               |  |
| 6430        | Operation and Maintenance of Materials Handling Equipment   |  |
| 6440        |   |  |
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| <b>6500</b> | <b>Special Airlift Services</b>                 |  |
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| 6590        |   |  |
| <b>6600</b> | <b>Transportation and Transport Engineering</b> |  |
| 6610        | Movement of Large Launch Vehicles               |  |
| 6620        | NASA Transportability                           |  |
| 6630        |   |  |
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| 6690        |   |  |
| <b>6700</b> | <b>Motor Vehicle Operation and Management</b>   |  |
| 6710        | NASA Motor Vehicle Program                      |  |
| 6720        | Vehicle Authorization and Acquisitions          |  |
| 6730        | Vehicle Operations and Control                  |  |
| 6740        | Vehicle Maintenance and Motor Pools             |  |
| 6750        | Vehicle Accidents                               |  |
| 6752        | Lost, Damaged, and Destroyed Vehicles           |  |
| 6760        | Vehicle Marking and Identification              |  |
| 6770        | Leased and Rented Vehicles                      |  |
| 6780        | Automotive Equipment                            |  |
| 6790        |   |  |
| <b>6800</b> | <b>Passenger Transportation</b>                 |  |
| 6810        | Local Passenger Service                         |  |
| 6820        |   |  |
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| 6990             |  |  |
| <b>7000-7999</b> | <b>PROGRAM FORMULATION</b>                                 |  |
| <b>7000</b>      | <b>Program Formulation General</b>                         |  |
| 7010             | Agency Program Goals and Objectives                        |  |
| 7020             | Long-Range Planning  |  |
| 7030             | Intermediate-Range Planning                                |  |
| 7040             | Program Planning and Review                                |  |
| 7050             | Low Cost Systems Program                                   |  |
| 7060             | Program and Project Logistics Policy                       |  |
| 7070             |  |  |
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| 7090             |  |  |
| <b>7100</b>      | <b>Research and Development Planning and Approval</b>      |  |
| 7110             | Advanced Studies Planning and Approval                     |  |
| 7120             | Project Planning and Approval                              |  |
| 7121             | Phased Project Planning and Approval                       |  |
| 7122             | Other Project Planning and Approval                        |  |
| 7130             | Supporting Research and Technology Planning and Approval   |  |
| 7140             | University Program   |  |
| 7150             | Project Scheduling and Implementation                      |  |
| 7160             | Project Termination  |  |
| 7170             | Human Research   |  |
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| <b>7200</b>      | <b>Institutional Planning and Approval</b>                 |  |
| 7210             | Establishment of Agency Institutional Goals and Objectives |  |
| 7220             | Establishment of Center Institutional Goals and Objectives |  |
| 7230             | Institutional Planning - Center Development                |  |
| 7231             | Human Resources Planning and Plans                         |  |
| 7232             | Facility Master Planning and Plans                         |  |
| 7233             | Center Technical Capability Planning and Plans             |  |
| 7234             | Center Institutional Capability Planning and Plans         |  |
| 7235             | Site Selection   |  |
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| <b>7300</b>      | <b>Facility Planning and Approval</b>                      |  |
| 7310             | Facility Requirements Determination                        |  |
| 7320             | Facility Design Standards, Criteria, and Procedures        |  |
| 7330             | Facility Projects, Approval Authorities                    |  |
| 7340             | Industrial Facilities Planning and Approval                |  |
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| <b>7400</b> | <b>Budget Formulation and Execution</b>                                |  |
| 7410        | Budget Formulation and Execution-General                               |  |
| 7420        | Preliminary Budget (Budget Review)                                     |  |
| 7421        | Budget Call-Instructions and Guidelines                                |  |
| 7422        | Preparation and Submission of Estimates                                |  |
| 7423        | Headquarters Review and Approval                                       |  |
| 7430        | Formulation of Annual Appropriation and Authorization Languages        |  |
| 7440        | President s Budget   |  |
| 7441        | Budget Call  |  |
| 7442        | Preparation and Submission of Estimates                                |  |
| 7443        | Headquarters Review and Approval                                       |  |
| 7444        | External Agency Review and Approval                                    |  |
| 7450        | Congressional Budget   |  |
| 7451        | Budget Call  |  |
| 7452        | Preparation and Submission of Material                                 |  |
| 7453        | Headquarters Review and Approval                                       |  |
| 7454        | Preparation and Submission of Congressional Budget                     |  |
| 7460        | Conduct of NASA Participation in Congressional Hearings<br>(on Budget) |  |
| 7470        |  |  |
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| <b>7500</b> | <b>Commercialization (of NASA Technology and Systems)</b>              |  |
| 7510        |  |  |
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| <b>7600</b> | <b>Program Operating Plans</b>   |  |
| 7610        | General Policies and Procedures  |  |
| 7620        | Research and Program Management  |  |
| 7630        | Research and Development   |  |
| 7640        | Construction of Facilities   |  |
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| <b>7700</b> | <b>Human Resources Utilization</b>                                     |  |
| 7710        | General  |  |
| 7720        | Determination of Human Resources Requirements                          |  |
| 7730        | Personnel Complement Ceilings and Controls                             |  |
| 7740        | Human Resources Utilization Programs and Reports                       |  |
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| <b>7800</b>      | <b>Resources Authority Allocation System</b>    |  |
| 7810             | General   |  |
| 7820             | Research and Program Management (R&PM)          |  |
| 7830             | Research and Development (R&D)                  |  |
| 7840             | Construction of Facilities (C of F)             |  |
| 7850             |   |  |
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| <b>7900</b>      | <b>Aircraft Operations and Management</b>       |  |
| 7910             | Aircraft Operations Management                  |  |
| 7920             | Administrative Aircraft Management              |  |
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| 7990             |   |  |
| <b>8000-8999</b> | <b>PROGRAM MANAGEMENT</b>                       |  |
| <b>8000</b>      | <b>Program Management - General</b>             |  |
| 8005             | Major Flight and Development                    |  |
| 8010             | Major Flight and Development - General          |  |
| 8020             | Program Control                                 |  |
| 8030             | Flight Experiments and Tasks                    |  |
| 8040             | Configuration Control                           |  |
| 8050             | Systems Integration and Checkout                |  |
| 8060             | Systems Design                                  |  |
| 8070             | Technical Standards and Specifications          |  |
| 8071             | Structures, Mechanical, and Thermal             |  |
| 8072             | Materials and Processes                         |  |
| 8073             | Power and Electrical                            |  |
| 8074             | Communication/Data Handling/Information Systems |  |
| 8075             | Electronics and Avionics                        |  |
| 8076             | Fluids, Propulsion                              |  |
| 8077             | Systems, Integration, Analysis and Test         |  |
| 8078             | Human Factors                                   |  |
| 8079             | Ground and Flight Operations                    |  |
| 8080             | Tests and Testing                               |  |
| 8090             | NASA Engineering Standards                      |  |
| <b>8100</b>      | <b>Advanced Studies</b>                         |  |
| 8110             | General   |  |
| 8120             | Conduct of Studies                              |  |
| 8130             | Study Reports                                   |  |
| 8132             | In-House Reports                                |  |
| 8134             | Contractor Study Reports                        |  |
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| <b>8200</b> | <b>Supporting Research and Technology (SRT)</b>      |  |
| 8210        | General  |  |
| 8220        | Conduct of SRT                                       |  |
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| <b>8300</b> | <b>Grants and Research Contracts</b>                 |  |
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| <b>8400</b> | <b>Tracking and Data Acquisition - General</b>       |  |
| 8410        | Tracking Stations                                    |  |
| 8420        | Network Spaceflight Tracking and Data Network (STDN) |  |
| 8430        | Mission Records                                      |  |
| 8440        | Balloons and Sounding Rockets                        |  |
| 8450        | System Records                                       |  |
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| <b>8500</b> | <b>Environmental Management (General)</b>            |  |
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| 8540        | Pollution Prevention                                 |  |
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| 8580        | National Environmental Policy Act (NEPA)             |  |
| 8590        | Management and Information Systems                   |  |
| <b>8600</b> | <b>Operations</b>                                    |  |
| 8610        | Operations General                                   |  |
| 8620        | Mission Reports                                      |  |
| 8621        | Mission Failure and Investigations and Reports       |  |
| 8630        | Launch Operations                                    |  |

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| 8660        | Range Integration and Support                             |  |
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| 8682        | Expendable Launch Vehicles (ELVs) (Satellites)            |  |
| 8683        | Space Station   |  |
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| <b>8700</b> | <b>Safety and Mission Assurance</b>                       |  |
| 8710        | Safety and Mission Assurance Policy (General) (S&MA)      |  |
| 8715        | Occupational Safety and Health Program Application (OSHA) |  |
| 8720        | Reliability, Availability, and Maintainability Policy     |  |
| 8730        | Quality Management  |  |
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| 8750        | Software Management Assurance Policy                      |  |
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| <b>8800</b> | <b>Real Property and Facilities</b>                       |  |
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| 8813        | Transfer of / Disposal                                    |  |
| 8814        | Housing and Personnel Quarters                            |  |
| 8820        | Construction of Facilities (C of F)                       |  |
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| 8834        | Structure and Equipment                                   |  |
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| <b>9000-9799</b> | <b>FINANCIAL MANAGEMENT</b>  |  |
| <b>9000</b>      | <b>Principles and General Policies</b>                               |  |
| 9010             | Introduction to the NASA Financial Management Manual                 |  |
| 9020             | Definitions of Financial Management Terms                            |  |
| 9030             | Criteria for Recording and Reporting Commitments                     |  |
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| 9050             | Cash Management - Administrative Control of Appropriations and Funds |  |
| 9060             | Accrual Accounting   |  |
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| 9080             | User Charges and Rental Charges                                      |  |
| 9090             | Guidelines Applicable to Reimbursable Agreements                     |  |
| <b>9100</b>      | <b>Agencywide Coding Structure (AWCS)</b>                            |  |
| 9110             | Reimbursable Agreement Number system                                 |  |
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